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ABSTRACT

This subcommittee hearing addresses the issues and problems currently facing libraries, including the absence of responsibility for library programs resulting from the reorganization of the Office of Educational Research and Improvement (OERI) and the implications of Office of Management and Budget (OMB) Circular A-130. Statements, letters, and supplementary material from the following individuals are presented: (1) Dr. William Asp, director, Office of Library Development and Services, Minnesota Department of Education; (2) Francis Buckley, Jr., assistant director of technical services, Detroit Public Library; (3) Barbara Cooper, chair, White House Conference on Library and Information Services Taskforce; (4) E. J. Josey, chief, Bureau of Specialist Library Services, New York State Library; (5) Susan K. Martin, director, Milton Eisenhower Library Johns Hopkins University; (6) Page Miller, director, National Coordinating Committee for the Promotion of History; (7) Lucille C. Thomas, library consultant; and (8) Joyce Woods, librarian, Saline Public Library (Michigan). Additional supplementary material includes: "Every Penny Invested in Library Services Benefits... the Economy...the Community...the Individual"; excerpts from the Federal Register, vol. 50, no. 247, December 24, 1985, and vol. 51, no. 3, January 6, 1986; and a listing of Library Services and Construction Act grants by Congressional District. The text of House Joint Resolution 244 is also provided. (KM)

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HEARING ON LIBRARIES

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HEARING

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

OF THE

COMMITTEE ON
EDUCATION AND LABOR
HOUSE OF REPRESENTATIVES

NINETY-NINTH CONGRESS

SECOND SESSION

HEARING HELD IN WASHINGTON, DC, APRIL 8, 1986

Serial No. 99-111

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HEARING ON LIBRARIES

TUESDAY, APRIL 8, 1986

House of Representatives,
Subcommittee on Postsecondary Education,
Committee on Education and Labor,
Washington, DC.

The subcommittee met, pursuant to call, at 10 a.m., in room 2175, Rayburn House Office Building, Hon. William D. Ford (chairman of the subcommittee) presiding.

Members present: Representatives Ford, Owens, Hayes, and Gunderson.

Staff present: Rose DiNapoli, minority legislative associate; Birdie Kyle, legislative associate.

Mr. Ford. The hearing of the Postsecondary Education Subcommittee will come to order.

I first want to commend my colleague, Representative Owens of New York, for requesting today's hearing. I gather there are some librarians here today. To the best of my knowledge, Mr. Owens is the only professional librarian, or a librarian by profession, however you prefer to say it, who has served as a member of this committee during my 22 years on the committee. It goes without saying that he expresses a constant and very sincere concern for all of the legislation before the committee that affects libraries directly and indirectly.

This week we are celebrating, National Library Week. I believe I can speak for all my colleagues in Congress when I say, welcome to Washington to all of you who have come to join in this celebration. Congress has been extending its welcome and its support to the library community for many years, but I must say it takes a lot of courage for you to celebrate National Library Week in the same town with administration officials who make no secret of the fact that libraries have absolutely no Federal priority.

Over the past 5 years, the administration has consistently recommended that library funding be eliminated across the board. The Congress has, in turn, just as consistently insisted on reauthorizing all federally supported library programs, and in funding them.

Though resources have shrunk over the years, we have through our collective efforts been able to continue the Library Services and Construction Act, the college library programs under the Higher Education Act, and aid to public school libraries under chapter 2 of the Education Consolidation and Improvement Act. Other essential support for libraries has consistently been provided in the past under the Postal Reorganization Act in the form of postal revenue foregone, and through revenue sharing.

The administration has not limited itself to its efforts to persuade the Congress to eliminate those programs just mentioned, but through other policy decisions it has posed other serious threats to the welfare of our Nation's library system.

These include the absence of responsibility for library programs in the newly organized Office of Education Research and Improvement which failed to include any reference to libraries in its mission statement, and the administration's recently published OMB Circular A-130 making drastic changes in the management of Federal information.

The witnesses here today will address all these issues and problems, as well as House Joint Resolution 244 calling for the second White House Conference on Library and Information Services, which I introduced last April.

Of course, I am pleased to welcome all of you who are witnesses here today, but I am especially pleased to welcome Mrs. Joyce Woods, librarian at the Saline, MI, public library—you might guess, that's in the heartland of the greatest State in the country and the best congressional district in the country—and Mr. Francis Buckley, assistant director of the Detroit Public Library.

Congressman Owens, I'm sure you have an opening statement before we call the witnesses to the table, and I'll recognize you for that purpose at this time.

Mr. **Owens**. Thank you very much, Mr. Chairman. I would like to begin by thanking you for returning from your vacation and placing this hearing on your very busy schedule.

If the rules of decorum of this hearing permitted it, I would call for a round of applause for your magnificent support for libraries and your willingness to call this hearing today.

I will limit my remarks, because I intend to make a lengthy statement on the floor of the House in the special order on libraries tomorrow. I hope that we can give the maximum amount of time to the panelists for both their presentations and for questioning.

I would like to say that the basic problem we face in Washington at this time is that this administration, unlike past administrations which might have been guilty of neglecting libraries, is guilty of hostility toward libraries; and that hostility is very dangerous indeed. It threatens not only the concept of the library as a publicly supported public good, it also infringes and threatens the national security.

We may do serious damage to our information gathering apparatus throughout the country before we see the last of the kind of hostility this administration has placed upon libraries.

I will reserve further remarks until questioning.

Mr. **Ford**. Thank you very much. The first panel will be Mr. Francis Buckley, Jr., assistant director for technical services, Detroit Public Library——

Excuse me, Mr. Hayes. Did you wish to make an opening statement?

Mr. **Hayes**. Thank you, Mr. Chairman, but I have no statement. I prefer to go on with the witnesses.

Mr. **Ford** [continuing]. Mr. E.J. Josey, chief, Bureau of Specialist Library Services, New York State Library; and Ms. Susan K.

Martin, director of the Milton Eisenhower Library, Johns Hopkins University, Baltimore, MD.

Without objection, the prepared comments of each of the witnesses will appear in full in the record immediately preceding their comments made here this morning. I'll ask you to add to, summarize or highlight your prepared statements in any way you feel most valuable to the building of this record.

I would ask first for Mr. Josey to proceed.

[Prepared statement of E.J. Josey follows:]

Statement
of
E. J. Josey
Past President, American Library Association

before the
Postsecondary Education Subcommittee
House Committee on Education and Labor

April 8, 1986

My name is E. J. Josey. I am Chief of the Bureau of Specialist Library Services, New York State Library. This library serves both as the library of last resort and the nucleus for the New York State interlibrary loan network, and serves New York State government through the provision of a major research collection and extensive reference assistance. Today, I speak on behalf of the American Library Association as its immediate past president. ALA is a nonprofit educational organization of over 42,000 librarians, trustees, educators, and other friends of libraries dedicated to the improvement of library services. I appreciate the opportunity to talk with you about federal government information policies, and about the ways in which reductions and uncertainties in federal funds are affecting library services.

PUBLIC ACCESS TO GOVERNMENT INFORMATION

The number one priority of the American Library Association is seeing that the information needs of citizens are met. Freedom of information is the most basic of rights in our democracy, and libraries have traditionally been the institution for citizen access. There is, in fact, an obvious interconnection of public issues with library issues: the effort to force release of government-controlled information is one part of the fight for intellectual freedom; the reduced availability and increasing cost of government sources of information limit the librarian's ability to provide information. Librarians are in a special position to know of restrictions of government information and to alert the public to act to force a change in policy when needed. The "right to know" and the "right to read" cannot be separated in the long run.

Two years ago, in my inaugural address as president of ALA, I quoted words of Thomas Jefferson which are even more pertinent today:

> If a nation expects to be ignorant and free in a state of civilization, it expects what never was and never will be...if we are to guard against ignorance and remain free, it is the responsibility of every American to be informed.

Yet keeping informed is becoming more and more difficult during an Administration which has established policies limiting public access to information. Even if we can get information about the activities of the federal government, we can no longer trust that it is accurate. An article in the March 17, 1986, Aviation Week & Space Technology tells the shocking story of the disinformation program initiated by the Defense Department, in conjunction with the Central Intelligence Agency, which it is applying to a number of its aircraft and weapons development projects. A Defense Department official is quoted as saying: "If some of the results of the disinformation activity on a particular program get passed to Congress through hearings or other means, there are channels on the Hill that can be used to get the correct information to the people who need to know." I needn't tell you, Mr. Chairman, what a dangerous precedent this policy establishes, since by its very nature it knowingly misleads Congress and the American people.

Even Congress itself is taking actions which threaten our democratic principles of public participation in government decision-making. I was distressed to learn that because of congressionally mandated budget cuts, the public will be locked out of the House and Senate Document Rooms and referred to the Government Printing Office bookstores. Restricting access to basic Congressional documents like bills, hearings and reports to those who can pay can easily evolve into a stratified society of the information "haves" and "have-nots." Such a gap unfairly limits individual opportunity in our free and democratic society. Mr. Chairman, we urge you and members of the Subcommittee to ask the Joint Committee on Printing to reconsider the recently announced restrictions on public access to basic Congressional documents as announced in a March 14 letter from Senator Charles McC. Mathias, Jr., and Representative Frank Annunzio to every Representative and Senator outlining the effects of the Gramm-Rudman-Hollings 4.3 percent cut on the printing and distribution of Congressional publications. Not only are the document rooms to be closed to the public, but in addition, copies of bills, reports, committee prints, hearings records, etc., provided for Congressional use will be reduced to such an extent that legislators will be discouraged from providing copies of such documents to their constituents.

ALA recognizes that the 4.3 percent Gramm-Rudman-Hollings cut for fiscal year 1986 is a fact of life, but there must be ways to comply with it less damaging to the democratic process. The issue is no less than the open and democratic provision of information, one that cannot be sloughed off on the grounds of economic expediency. We think it deplorable that as the Nation approaches the celebration of the Bicentennial of the Constitution, Congress would consider making participation in the legislative process dependent on the ability to pay.

Mr. Chairman, I want to take this opportunity to reaffirm the inseparable relationship between libraries and the traditional democratic liberties. However, libraries are finding it more and more difficult and expensive to meet their users' needs for information by and about the federal government, due to agency budget cuts and Administration policies. Since 1981, ALA has documented the continuing pattern of the federal government to restrict government publications and information dissemination activities in a chronology entitled "Less Access to Less Information By and About the U.S. Government." The chronology shows the accelerating trend toward electronic storage of information and contracting for information collected by the government to be published and sold by private industry. It also documents the cuts in labor and health statistics, housing data, economic and trade figures and environmental reports and other information supported by tax dollars.

We can continue to try to keep track of government information as it disappears, but that is becoming a formidable task because the Administration now has in place several methods which can be used to restrict federal government information:

1. OMB's Circular A-130, Management of Federal Information Resources, was issued on December 12, 1985, the day the President signed the Gramm-Rudman-Hollings law, and published in the Federal Register on December 24.

2. As agencies' budgets are cut through the implementation of Gramm-Rudman-Hollings budget control and deficit reduction process, information and data collection, analysis and dissemination activities are often reduced or eliminated.

3. The Office of Management Circular A-3, Government Publications, issued in May 1985, requires agency heads to annually submit to OMB for approval a list of current and proposed periodicals, with detailed justifications for proposed periodicals.

4. OMB's management initiatives to reduce government publications through Reform 88 have been very effective. One of the fiscal year 1987 budget documents released in early February, Management of the United States Government, states that since 1982 one-quarter of the 16,000 government publications have been eliminated.

With this many mechanisms available, it will be difficult to establish which policy is accountable. However, we particularly urge Congress to monitor closely the implementation of OMB Circular A-130. Attached to this statement is a resolution passed by ALA's Council in January requesting you to do so. ALA believes that this circular establishes official government policy which will contribute to the curtailment of the federal government's efforts to collect and disseminate information to the general public, business, government policymakers and the academic community, and will accelerate the current trend toward commercialization and privatization of government information. In a December 23 editorial, "Privatizing the Numbers," The Washington Post said that the circular "would likely reduce the number of printed government publications available to libraries or at low cost and increase the already widespread practice of private outfits interfacing with government computers and providing printouts for users at hefty fees."

Circular A-130 is a presidential policy directive to executive agencies which provides a general policy framework for the management of federal information resources. The circular does not have the force of law; it is not a regulation. However, agencies ignore it at their peril. The Director of OMB will use fiscal budget reviews and other measures to evaluate agency compliance with the circular (sec. 10). This umbrella circular supersedes four existing circulars, but its scope is much broader than the incorporated directives. The circular implements provisions of the Paperwork Reduction Act of 1980 (PL 96-511) as well as other statutes, executive orders and executive branch management philosophy.

OMB made substantial changes to its March 1985 draft, but refused to make the final draft available for further public review before publication despite requests from Members of Congress, ALA and others. In its rewrite of the controversial March proposal in response to the more than 350 comments it received, OMB accepted some of the recommendations which ALA and others made. However, other provisions heavily criticized by the library and academic community were not changed or were modified only slightly. The final circular still delineates debatable policies regarding access, dissemination, data collection, "maximum feasible reliance on the private sector," user fees, cost-benefit analysis and other matters.

At this point, I want to say that we are not antiprofit. Many commercial publications are better than those the government offers. But if materials are available only through the private sector at a higher price, the result is less access. In recent years, we have seen the rapid growth of information services provided by the private sector, and the apparent inclination in some circles, including the current Administration, to believe that these services can replace services provided by public institutions, and without expense to the taxpayer. No one would deny the utility of many of these services provided by the private sector, but they are not available to all of the American people; their purpose is to yield a profit, and they are designed only for those who can pay for them. Nor does the private sector have any obligation to provide access to all or any information; only that information which the suppliers deem profitable or potentially so. Only the preservation of public services, publicly supported, can assure that each individual has equal and readily available access to information, whether provision of that information to that individual is economically profitable in private sector terms or not.

The "Less Access" publication contains many examples of how costs increase when government information is turned over to the private sector. Here are two recent examples:

- A January 30 news release from the Federal Election Commission announced that "drastically curtailed public disclosure of federal campaign finance information will result from a series of budget cuts forced upon the FEC." Effective March 1, the computerization of itemized information filed by political committees on the '86 election will be reduced severely, although candidate and political committee reports will continue to be available on microfilm for public review and copying. Among the effects of the reduction in computerization will be a reduction in timeliness, since data entry time probably will double; accuracy of detailed information may be reduced because less expensive methods of data entry will be used; and availability of detailed information will be reduced. Stepping into the breach is Washington Online's Campaign Contribution Tracking System which includes all FEC reports filed since 1983 and costs $3,500 in annual subscriptions for unlimited usage.

- The Federal Communications Commission (FCC) issued a news release on February 24 announcing that effective immediately it will publish summaries instead of the full texts of Notices of Proposed Rulemaking, rulemaking decisions and policy statements in the Federal Register. The FCC decided that "publication of detailed summaries would be a reasonable and cost-efficient way of apprising the general public of its action." Federal Register publication of the actual texts of final rules will be continued. Budgetary constraints and the rising cost of Federal Register publication were given as the rationale for the cuts. To cut publication costs further, the FCC also amended its rules to enable it to reduce the amount of material published in FCC Reports. Hereafter, only those rulemaking decisions and policy statements summarized in the Federal Register and not published in Pike and Fischer (a private sector service which costs $1,875 to initiate and $1,375 for an annual subscription) will be published in FCC Reports.

And what happens when government data simply disappears? Here are examples which affect New York:

- The Department of Energy's Energy Information Administration formerly issued a periodical called Update which contained costs of nuclear power plant capital construction. Without this information, state tax officials cannot assess this property with the confidence they once had in federal data, since now they must rely on what information the nuclear power industry is willing to divulge.

- The Bureau of Labor Statistics formerly published statistics on work stoppages by state. This was valuable to New York because one could see that there were proportionally fewer work stoppages than the unionization rate would indicate. The data showed that less unionized states experienced labor difficulties as well. New York used this information to attract business and industry to the state; without this data, it is impossible to provide this vital information to prospects.

When these examples are multiplied by the experience of all the States, we start to get a picture of the enormous gaps about the national condition which are developing.

For several years now, members of ALA have been testifying before various House Committees, alerting Members of Congress to the dangers inherent in the Administration's approach to information. My colleague, Francis Buckley, has testified several times about OMB Circular A-130. Other witnesses have protested the Administration's contracting out entire federal libraries to the private sector and their efforts to downgrade professional librarians in the federal government.

ALA plans to foster cooperation among other groups concerned about public access to government information by developing a Coalition on Government Information. Nancy Kranich of New York University chairs the ALA committee setting up the coalition.

The next part of my statement will focus on federal library programs, and emphasize that continuing these programs is all the more essential in light of other pressures on libraries from the federal level.

IMPACT ON LIBRARIES OF ADMINISTRATION'S BUDGET PROPOSALS

There is only one word for the Administration's fiscal year 1987 budget proposals for federal library and related programs -- a disaster, pure and simple. The Administration would completely eliminate any federal role in support of library services. Now this is no surprise. We have reached the fifth year in a row where the President proposes zero, and Congress, with this Subcommittee's leadership and encouragement, continues the programs. I am speaking here of the Library Services and Construction Act, currently funded at $120,500,000, and the Higher Education Act title II programs, funded at $7,000,000.

The Administration insists that libraries are strictly a local and state responsibility. Federal funds provide about 4 percent of public library support; in New York State it is 2 percent. With those statistics, it is self-evident that libraries are for the most part a local and state responsibility. That does not mean the federal government has no role. We are long since past the time, if it ever existed, when libraries served only the local community and only those who sought out its services.

Federal assistance has successfully extended quality library service to those without it, to those at a disadvantage because of distance, institutionalization, physical handicap, limited English-speaking proficiency, residence, income, age, or literacy level. It has a continuing role to play in these areas and in encouraging and supporting mechanisms for sharing library resources across local, state, and even national boundaries, applications of new technology, and prototype and special programs.

On the one hand, the President and the Secretary of Education are encouraging parents to read to their children, urging schools to go back to basic skills, calling for improvements in the quality of education, and decrying the extent of illiteracy. On the other hand, they would allow serious damage to libraries -- the core of education, the central element upon which democracy is dependent, the community's principal resource for assisting its citizens in their pursuit of knowledge.

But this year the Administration has gone further, and would eliminate federal library programs not just in the upcoming 1987 fiscal year, but would rescind or cancel all fiscal year 1986 library grant funds that have not already been substantially allocated -- a total of $34,500,000 appropriated for LSCA II public library construction, LSCA VI library literacy programs, HEA II-B library training, research and demonstrations, and HEA II-C research library grants.

The rescission proposal is illegal in the case of LSCA II. In 1982 the Administration held up LSCA funds improperly, and 10 states, led by my own state of New York, filed suit. The funds were eventually released, but in connection with that case, the General Accounting Office held (GAO B-205053, March 10, 1982) that the LSCA statute includes mandatory spending provisions which mean that titles I, II and III are not available to the Administration for rescission. Such mandatory spending provisions take precedence over the rescission provisions of the Impoundment Control Act.

Despite the GAO opinion, the Administration is holding up all LSCA II funds during the rescission period, including those of two states, Massachusetts and Michigan, which had already received FY '86 allocations. A third state, Oklahoma, had an application approved by the Department of Education, but was told all funds would be withheld, well before any rescission request was submitted to Congress.

The mindless, automatic-pilot approach to deficit reduction of Gramm-Rudman-Hollings (the Balanced Budget and Emergency Deficit Control Act of 1985) has immensely complicated state administration of LSCA, and plans of libraries expecting grants, by requiring cuts in funds already allocated. Seventeen states are being required to return LSCA I and III funds to comply with the 4.3 percent cut on March 1. The only apparent alternative would have been to take a double cut from states like New York which had not yet received their allocation.

More than 13 percent of New York State's population lives below the poverty level. Libraries provide basic survival information, referral services, and information useful to getting and holding jobs. More than 65 job/education centers offer citizens educational and vocational counseling, independent study program opportunities, and high school equivalency exam preparation. Libraries help individuals prepare resumes, obtain career change information, find out about training programs, and develop skills in test taking and job searching. More than $452,100 in FY '85 LSCA I funds improved library services for people with special career or education needs.

More than three million New Yorkers are educationally disadvantaged and 5.6 million aged 17 or over lack a high school diploma. English is not a first language for many; in New York City alone, some 1.8 million speak one of 25 major languages, from Arabic to Yiddish. With LSCA help, library bilingual programs serve people throughout the State. Libraries cooperate with other agencies to offer literacy classes, train literacy volunteers and provide materials and meeting places. In rural areas, libraries often provide the only local help for the independent learner. Over $467,200 in LSCA I funds strengthened 24 adult learning or literacy projects. LSCA VI would provide another much needed source of support.

As one public library director noted: "LSCA money has enabled us to start every new service we have offered...such as the radio reading for the blind. The kind of money to initiate new programs is what is jeopardized if Federal grants are cut." LSCA funds helped New York State's two regional libraries for the blind -- at the New York Public Library and at the New York State Library -- to serve more than 46,000 readers. This special service is also made possible by free mail for the blind which allows braille and recorded materials and equipment to go through the mails postage free.

Many interlibrary cooperation projects funded by LSCA III are also aided by the fourth class library rate which provides reduced postage for interlibrary loan packages, library and school film circuits, and books-by-mail programs for rural and home-bound patrons. I believe the U.S. Postal Service estimates that $22 million in postal revenue forgone funding is needed for FY '87 for the library rate. The Administration has also proposed the elimination of all postal subsidies. The Congress, led by you, Mr. Chairman, in your capacity as Chairman of the Post Office and Civil Service Committee, has rejected this proposal in the past. I urge you to do so again this time. Full commercial rates would mean a 27 percent increase for a library rate two-pound book package, on top of a 10 percent increase March 9 and a 24 percent increase January 1 due to insufficient appropriations and the Gramm-Rudman-Hollings cut.

To serve the State's many minority groups, New York libraries need strong minority representation on their professional staffs. But the number of minority students enrolled in library schools has dropped more than 40 percent since 1979, mainly due to decreased funds for HEA II-B fellowships. Attracting such candidates into a relatively low-paying field without the assurance of financial support is difficult. II-B enables library schools to actively recruit minority candidates. In New York, Columbia University; CUNY, Queens College; Long Island University, C. W. Post Campus; Saint John's University; SUNY at Albany; and SUNY at Buffalo all received grants in FY '85, but the program supported only 13 fellowships among these six institutions.

A brief listing of FY '85 HEA II-C research library projects in New York State will show the range of institutions aided and the variety and importance of the projects:

American Museum of Natural History, $145,739, to catalog, restore, preserve and disseminate information about one of the world's finest scientific and historical film collections.

Columbia University, $210,120, to catalog the Soviet Nationalities Collection and enter records into the Research Libraries Information Network (RLIN) so they will be known and accessible to scholars.

New York Historical Society, $65,585, to continue processing and preserving a vast collection of 18th and 19th century books and pamphlets, and enter records into RLIN.

New York Public Library, $212,583, to microfilm a World War II collection of books, periodicals, pamphlets, broadsides, scrapbooks, maps, and manuscripts in over 10 languages and from more than 20 countries, and enter records into RLIN.

New York University, $166,867, to complete cataloging of unique books and periodicals on labor history, socialism, communism, anarchism and American radicalism in the U.S.

SUNY at Buffalo, $109,707, to continue to create bibliographic records for its unique collection of research material on 20th century poetry in English and enter records into Online Computer Library Center (OCLC).

Syracuse University, $160,000, to preserve the outstanding Margaret Bourke-White photo collection, including creating a microfiche record of the images as a visual index to the collection.

University of Rochester, $233,000 (with Indiana University and University of California at Berkeley), to demonstrate the feasibility of proposed methods and standards for retrospective conversion to online systems such as OCLC and RLIN of bibliographic information in the field of music.

None of these projects would have gone forward without federal funding. The last grant listed is a pilot project which, if successful, will be adopted by other members of the Associated Music Libraries Group, and ultimately by hundreds of libraries with smaller music materials conversion projects. It will facilitate resource sharing and benefit all musicians and music scholars. Several organizations were involved in development of the standards to be used. Music poses special bibliographic problems; it is the last subject area to be automated by the Library of Congress and is still the weakest. The grant project is an excellent example of libraries and subject organizations cooperating, but none of the three pilot institutions could support the project alone or without II-C assistance.

I am very pleased with this Subcommittee's work on two HEA programs not currently funded, but amended in the House-passed HEA reauthorization bill, HR 3700. HEA II-A, the college library resources program, provided 177 New York academic libraries with $157,530 in its most recent year of funding, FY '83. I strongly support the II-A criteria in HR 3700 developed by ALA's Association of College and Research Libraries to target the grants to the neediest college libraries. If funded in FY '87, these grants of $2,000 to $10,000 could go a long way toward helping many needy academic libraries serve their students more adequately and share their resources with other libraries.

The revised HEA II-D program of college library technology and cooperation grants, originally introduced by Chairman Ford and Representative Coleman and incorporated in HR 3700, would help many libraries overcome a significant barrier to full use of technological developments -- capitalization costs. The relative unavailability of capital funds has meant that many institutions have been unable to adopt labor-saving library technology, or to take advantage of resource sharing systems.

There are additional pressures on libraries stemming from issues and actions outside the jurisdiction of this Subcommittee, but to enable you to view the current state of libraries in context, I have attached a listing of several of them to my testimony. These issues include the proposed end of revenue sharing, increased telecommunications costs, and cuts in other federal programs such as the National Endowment for the Humanities and the National Historical Publications and Records Commission.

One item on the attached list deserves special mention -- the double cuts suffered by the Library of Congress due to appropriations cuts plus the Gramm-Rudman-Hollings cut. Librarian of Congress Daniel Boorstin has forcefully and eloquently protested that the "greatest library on Earth" could be "disintegrated in a decade" if the cuts imposed on the Library this year are not restored. Library users have held sit-ins to protest the shortened hours of service.

However, the cuts behind the scenes at LC will affect libraries and users everywhere. New York Public Library recently listed some of the effects the LC cuts will have on its services. NYPL is engaged in cooperative preservation microfilming arrangements with LC. The future of these projects is seriously threatened as a result of the 18.4 percent cut in LC preservation efforts. Each year NYPL's Library for the Blind and Physically Handicapped receives about $500,000 worth of talking and braille books, support equipment, repair parts, earphones, etc. through LC's National Library Service for the Blind and Physically Handicapped. LC's cut of 12 percent in this area will diminish service for print handicapped library users in New York. NYPL subscribes to LC's cataloging data service thus increasing cataloging output without the need for increased catalog staff. LC's cataloging output is being reduced 14 percent, and NYPL's backlog of uncataloged material will grow.

An 8 percent cut at the Library of Congress will have ripple effects reducing library and information service much more than 8 percent all across the country. Who can count the ways our lives will be diminished as a result of such short-sighted, pound foolish budget actions?

1989 WHITE HOUSE CONFERENCE

One improvement in the Administration's budget for FY 1987 is its recognition of the important contributions of the National Commission on Libraries and Information Science. This small but unique and effective agency would administer any future White House Conference on Library and Information Services (WHCLIS), as it did for the first highly successful conference in 1979. I want to express my strong personal support and that of the American Library Association, for a second WHCLIS in 1989, as authorized by H.J.Res. 244.

Mr. Chairman, when you introduced this measure a year ago, you headed your introductory statement "America's Libraries in Crisis." It is indeed a time of crisis for libraries, not only because of this Administration's shortsighted attitude toward public access to information and support of libraries, but because rapid technological advances are changing the delivery of information and thus the library's role, because of libraries' increasing importance in combating illiteracy, and because of the continuing challenge of meeting the information needs of a pluralistic and democratic society.

I thank you for your leadership on this landmark legislation, and urge the Subcommittee to approve it promptly. Thank you for the opportunity to speak on behalf of the American Library Association.

Attachments: (1) ALA Resolution on OMB Circular A-130
(2) Impact on Libraries of Federal Budget & Policy Decisions & Proposals

RESOLUTION ON OMB CIRCULAR A-130, MANAGEMENT OF FEDERAL INFORMATION RESOURCES

WHEREAS, Equal and readily available access to unclassified government information and publications is a primary tenet of a free society; and

WHEREAS, The issue of this access is addressed in OMB Circular A-130, "Management of Federal Information Resources," published by the Office of Management and Budget (OMB) in the December 24, 1985, Federal Register; and

WHEREAS, This Circular was made available only once in draft form for public comment; and

WHEREAS, The American Library Association (ALA), although appreciative of OMB's adoption of several of its recommendations, including recognition of the role of the Depository Library Program, nevertheless believes that the policies delineated in regards to dissemination, data collection, "maximum feasible reliance on the private sector," user fees, cost-benefit analysis, and other matters will contribute to the curtailment of the collection of government information and its dissemination to the general public, business, government policymakers, and the academic community; and

WHEREAS, The Association regrets that the final version of the Circular was not made available for further public comment despite substantial revisions and requests from Members of Congress, ALA, and the American public; now, therefore, be it

RESOLVED, That the Director of OMB and interested Members of the United States Congress be apprised of the possible effects of OMB Circular A-130 and urged to monitor closely its implementation; and, be it further

RESOLVED, That ALA members be urged to monitor the effects of the implementation of the Circular on government information and publications and report problems to the ALA Washington Office, Members of Congress, and OMB.

Adopted by the Council of the
American Library Association
Chicago, Illinois
January 22, 1986
(Council Document #28)

IMPACT ON LIBRARIES OF FEDERAL BUDGET AND POLICY DECISIONS AND PROPOSALS

Effect of Gramm-Rudman-Hollings. All federal library and related programs were cut 4.3 percent due to the presidential sequester order which took effect March 1, 1986, as mandated by the Balanced Budget and Emergency Deficit Control Act of 1985 (Gramm-Rudman-Hollings amendment or G-R-H). The effect is particularly severe on agencies such as the Library of Congress which had already received a cut in FY '86, and on current funded grant programs such as LSCA, where 17 states are being required to return funds already received. The alternative was a double cut for states which had not yet received allocations. Should the automatic sequestering of funds be implemented October 1, 1986, for FY '87, all programs would be cut an estimated 25 percent!

Zero Budget for Library Programs. For the fifth year in a row, the Administration has proposed elimination of the Library Services and Construction Act title I public library service improvement and extension to targeted populations, title II public library construction, title III interlibrary cooperation among all types of libraries and across local and state boundaries, title IV library services to Indian tribes, and title VI library literacy programs; and elimination of the Higher Education Act title II-A college library resources grants (unfunded pending reauthorization with need criteria), title II-B graduate fellowships targeted to minorities, plus research and demonstrations, and title II-C grants to major research libraries to make their holdings more widely available. FY '86 funding for these programs is $127,500,000 ($122,018,000 after March 1 G-R-H cut).

Library Rescissions Proposed. In addition, this year the Administration has proposed rescission or cancellation of all library program funding not already substantially allocated. If Congress does not agree by mid-April, $34,500,000 in funds for LSCA II and VI and HEA II-A, B and C must be released, but that will be over half way through the fiscal year---a hardship when applications have been prepared, plans have been made, matching funds may have been promised, and some salaries may be at stake. Two states have been prevented from spending LSCA II allocations they had already received!

Postal Revenue Forgone Threatened. For the second year, the Administration has proposed elimination of the federal funding which replaces revenue lost or "forgone" by the U.S. Postal Service (USPS) so that some rates can be free (for the blind and visually handicapped) or reduced (preferred 2nd, 3rd and 4th class rates for local newspapers, charitable and nonprofit groups, and libraries, schools and colleges). USPS estimates $833,211,000 is needed for FY '87, of which $28.5 million would be for free mail for the blind, and $22 million for the 4th class library rate used for interlibrary loan, books-by-mail programs for rural and home-bound patrons, film circuits, and orders from publishers/distributors.

At the full commercial rates which would prevail October 1 without any subsidy, a two-pound library rate book package would be $.94, a 27 percent increase. This would be on top of a ten percent increase March 9 and a 24 percent increase January 1 due to insufficient appropriations and the G-R-H cut. There was also a general rate increase in February 1985; prior to that the two-pound package was $.47. Under the President's budget, the library rate would go up 100 percent in less than two year's time.

Library of Congress - Double Cuts. FY '86 funding to the Library of Congress was 3.5 percent below FY '85; on March 1 the G-R-H cut was a further 4.3 percent. Thus, LC funding is reduced by $18.3 million or eight percent. Some 300 positions are being eliminated. Public service hours have been cut from 77 1/2 to 54 1/2 per week. All Sunday and holiday hours have been eliminated and all evening hours except Wednesday, restricting access of working researchers and scholars on limited travel to LC's unique resources. There will be 22 percent fewer purchases of new, needed, or rare items (which may not be available or in print in future years). About 25,000 fewer books will be cataloged, affecting all libraries who rely on LC's high-quality and comprehensive cataloging data. About 77,000 LC books reach a brittle state each year, but preservation microfilming will be cut 25 percent, and 75,000 books will go without binding. LC's National Library Servico for the Blind and Physically Handicapped is being cut 12 percent, resulting in 80,000 fewer copies of braille and recorded magazines (the subscription waiting list is growing at 1,000 names per month), and 2,000 fewer braille book copies.

Loss of School Library Program. The Elementary and Secondary Education Act title II (funded from FY 1966-76) provided assistance for the acquisition of school library resources, textbooks and instructional materials. One of the major effects of this program was the establishment of stocked and staffed elementary school libraries in many schools which had none previously. A "small" consolidation, the ESEA IV-B program (funded in FY 1976-81) combined title II with educational equipment and guidance, counseling and testing, but still provided an estimated 20-30 percent of all funds spent on school library resources and instructional equipment. ESEA IV-B received $161 million in its last year of funding, FY '81. A "big" consolidation, the Education Consolidation and Improvement Act of 1981, combined ESEA IV-B with 27 other programs in a block grant. Preliminary results of an Education Department evaluation show 67 percent of school districts spent $97 million on library resources and instructional equipment. Information from school librarians shows the effect to be very uneven under the block grant, with some schools receiving more funds for libraries while others get none. New York received $12.4 million in the last year of IV-B, but spent only $2.1 million of its $31.1 million Chapter 2 allocation on school libraries in the 1984-85 school year.

Proposed End of Revenue Sharing. The Administration has proposed terminating general revenue sharing when the current authorization expires at the end of 1986, and has proposed rescinding this year's fourth quarter payment to local governments. In FY '83, libraries received 1.65 percent of revenue sharing funds or $76 million. In West Virginia, 22 percent of local support of public libraries comes from revenue sharing; in Pennsylvania it is 14 percent. If revenue sharing is eliminated, many libraries will be severely and directly affected. Most public libraries will be affected indirectly as localities seek to cut some services for funds to replace federal revenue sharing used for other services, such as police and fire protection.

Increased Telecommunications Costs. Divestiture of the Bell system and FCC deregulatory policies have resulted in revised AT&T tariffs for the private leased lines used by thousands of libraries to transmit bibliographic data. In October 1983, AT&T proposed a 73 percent increase in a tariff that, after considerable library community and congressional involvement, was found unlawful by the FCC. New tariffs eventually took effect in April 1985 with a 20 percent increase for libraries, with state and regional library network increases ranging from 5 to 64 percent. Libraries were affected much more substantially than the average for all private line customers of four percent. Since April, three incremental increases have been approved, raising library costs by about another 23 percent. With such large and frequent increases, planning becomes impossible, and small libraries are being priced out of online systems.

Other Federal Program Cuts. The National Endowment for the Humanities, already cut back in recent years over ten percent below its FY '81 level, would be cut again another ten percent in the Administration's FY '87 budget. NEH Humanities Projects in Libraries, kept alive only through congressional support, would be cut 52 percent. The National Historical Publications and Records Commission is once again proposed for elimination. The Government Printing Office Superintendent of Documents operation which supports distribution of government documents to almost 1,400 designated depository libraries, is down 14 percent from the previous year. Other programs which have received cuts or not kept pace with increased costs include the National Commission on Libraries and Information Science, the National Library of Medicine (including the Medical Library Assistance Act), the National Agricultural Library, and the National Archives and Records Administration.

Restrictions on Access to Government Information. A series of federal policy decisions in recent years have had the effect of restricting the amount of information collected or compiled by the federal government, the amount of such information published, and the amount disseminated. Various policy directives have caused agencies to cut back or discontinue such activities, making it more difficult for libraries to meet their users' needs. These policies and examples of their effects have been documented by the ALA Washington Office in a series of chronologies entitled "Less Access to Less Information By and About the U.S. Government." A more recent example was a March 17 Joint Economic Committee hearing on the declining quality of U.S. economic data (on which many funding and other decisions depend) due to budget cuts for statistics collection and analysis. Another example is the March 14 letter to legislators from the Joint Committee on Printing announcing that because of the G-R-H cut, House and Senate Document Rooms would soon close to the public, and constituents could not expect to obtain bills, reports, etc., from their Members of Congress.

OMB Circular A-130. Issued December 24, 1985, the Office of Management and Budget Circular A-130, Management of Federal Information Resources, is a significant presidential policy directive which will likely increase restrictions on the public's access and accelerate the trend to privatization of government information. Although an improvement over the draft circular originally proposed, A-130 still allows dissemination only when required by law or necessary for proper performance of agency functions, and when it does not duplicate any current or potential private sector product or service. Agencies are to place maximum feasible reliance on the private sector for dissemination, which could easily lead to higher prices and selective rather than comprehensive coverage.

Privatization Affects Library Service. The Administration's policy of contracting out to the private sector as many government activities as possible (OMB Circular A-76) is affecting the services of federal libraries. Libraries are on OMB's list of "commercial" activities and thus are especially vulnerable to being contracted out. Over 200 A-76 library actions have taken place between 1983 and October 1985 including the Departments of Transportation, Labor, Interior, Commerce, the National Oceanic and Atmospheric Administration, Census, the Office of Personnel Management, the U.S. Information Agency, the Consumer Product Safety Commission, and the Equal Employment Opportunity Commission. The libraries of the Department of Housing and Urban Development, the Department of Energy, and the Environmental Protection Agency have already been contracted out. However, libraries are not off-the-shelf products; they require personnel competencies likely to be sacrificed if contracted out, with consequent reductions in the productivity of government scientists, lawyers, administrators and others.

Costs of Materials Going Up. Since 1967, when the average book and journal each cost about $8.00, the cost of printed materials has generally risen faster than the consumer price index. This is especially true of periodicals. If a library had the same acquisitions budget in 1985 as it had in 1967, it would be able to purchase only 15 percent of the periodicals it could have in 1967, or twice the inflation rate of the CPI. The average U.S. periodical cost almost $60.00 in 1985, an 8.6 percent increase in one year, still well over twice the CPI of 3.8 percent. The price of the average U.S. hardcover book was $30.00 in 1984, and has stabilized in recent years. However, non mass-market paperbacks went up to $13.86 in 1984, a 17.5 percent increase. Libraries have tried to maintain their journal subscriptions, often at the expense of book purchases. A ten-year analysis of data from 84 research libraries indicates that while expenditures for books rose by 93 percent, and expenditures for serials rose by 155 percent, the number of volumes held by those libraries increased by only 31 percent.

Costs Higher to Libraries. It is common practice for publishers to charge a higher periodical subscription rate to libraries and institutions than to individuals. About 70 percent of the periodical titles most often ordered by libraries are available to them only at prices which may be from 10 to 100 percent more than the rates charged individuals. Beginning about 1980, British publishers began charging American libraries far higher prices. A 1984 study of 17 British publishers of scholarly and scientific journals showed they charged North American libraries 67 percent more than subscribers in the UK and 34 percent more than customers elsewhere in the world. One German publisher has followed suit, and librarians fear the practice will spread.

Technology Changing Nature of Materials. Technology can increase information access for users but also exerts cost pressures on libraries. There are now over 2,000 online databases provided through about 300 different online systems. Each database provides data and information, or citations to the literature of a certain field, or both. Unlike printed material on shelves, where the cost of acquiring and maintaining the information does not depend directly on the number of users, retrieving information from online databases costs money each time, even for the same information. Some material is now available only online. How to budget for these services, and whether to charge users are questions each library must answer.

White House Conference II. These and many other issues and trends affecting libraries are likely to be a focus of public policy discussions and recommendations during the second White House Conference on Library and Information Services. Measures---H.J.Res. 244, introduced by Rep. William Ford (D-MI) and S.J.Res. 112, introduced by Sen. Claiborne Pell (D-RI)---are pending in Congress to authorize a second WHCLIS in 1989.

American Library Association
Washington Office
202/547-4440

March 1986

TESTIMONY OF E.J. JOSEY, CHIEF, BUREAU OF SPECIALIST LIBRARY SERVICES, NEW YORK STATE LIBRARY

Mr. JOSEY. Thank you, Mr. Chairman.

My name is E.J. Josey. I am chief of the Bureau of Specialist Library Services, New York State Library. This library serves as the switching center for the New York State interlibrary loan network, and has the distinction of being the only State library in the Nation that is a member of the Association of Research Libraries.

Today I speak on behalf of the American Library Association as its immediate past president. ALA is a nonprofit educational organization of over 42,000 librarians, trustees, educators and other friends of libraries dedicated to the improvement of library services.

I appreciate this opportunity to talk with you about Federal Government information policies, and about the ways in which reductions and uncertainties in Federal funds are affecting library services all over this land.

The No. 1 priority of the American Library Association is seeing that information needs of citizens are met. Freedom of information is the most basic of rights in our democracy, and libraries have traditionally been the institution for that citizen access: There is, in fact, an obvious interconnection of public issues with library issues: The effort to force release of Government-controlled information is one part of the fight for intellectual freedom; the reduced availability and increasing cost of Government sources of information limit the librarian's ability to provide that information.

In my inaugural address as the president of the American Library Association, I quoted words of Thomas Jefferson which are even more relevant today, that

> * * * If a nation expects to be ignorant and free in a state of civilization, it expects what never was and never will be * * * if we are to guard against ignorance and remain free, it is the responsibility of every American to be informed.

Yet keeping informed today is becoming more and more difficult during an administration which has established policies limiting public access to information. The American Library Association recognizes that the 4.3 percent Gramm-Rudman-Hollings cut for fiscal year 1986 is a fact of life, but there must be ways to comply with it less damaging to the democratic process. The issue is no less than the open and democratic provision of information. We think that it is deplorable that, as our Nation approaches the celebration of the bicentennial of the Constitution, Congress would consider making participation in the legislative process dependent on the ability to pay.

We particularly urge the Congress to monitor closely the implementation of the Office of Management and Budget Circular A-130. Attached to my statement you will find a resolution passed by the ALA council in January requesting you to do so.

The American Library Association believes that this circular establishes official Government policy which will contribute to the curtailment of the Federal Government's effort to collect and disseminate information to the general public, business, Government, policymakers, and the academic community, and moreover, will accelerate the current trend toward commercialization and privatization of Government information.

The next part of my statement will focus on Federal library programs and emphasize that continuing these programs is all the more essential in light of other pressures on libraries from the Federal level.

Let me comment on the impact of the administration's budget proposal. There is only one word for the administration's fiscal year 1987 budget proposals for Federal library related programs, a disaster, pure and simple.

The administration would completely eliminate any Federal role in support of library services. Now this is no surprise. We have reached the fifth year in a row, as you indicated, Mr. Chairman, where the President proposes zero; and Congress, with this subcommittee's leadership, continued the program. I am speaking here of the Library Service and Construction Act and the Higher Education Act title II programs.

The administration insists that libraries are strictly a local and State responsibility. Federal funds provide about 4 percent of public library support. In my own State of New York, it is only 2 percent; with these statistics, it is self-evident that libraries are, for the most part, a local and State responsibility. That does not mean, however, that the Federal Governnent has no role.

We are long since past the time, if it ever existed, when libraries served only the local community. But this year the administration has gone further and would eliminate Federal library programs not just in the upcoming fiscal year, but would rescind or cancel all fiscal year 1986 library grant funds that have not already been substantially allocated.

There are additional pressures on libraries stemming from issues and actions outside the jurisdiction of this subcommittee; but to enable you to view the current state of libraries in context, I have attached a listing of several of them to my testimony. These issues include the proposed end of revenue sharing, increased telecommunications costs, and cuts in other Federal programs such as the National Endowment for the Humanities and the National Historical Publications and Records Commission.

One improvement in the administration's budget for fiscal year 1987 is its recognition of the important contributions of the National Commission on Libraries and Information Science. This small but unique and effective agency would administer any future White House Conference on Library and Information Services, just as it did for the first conference in 1979.

I want to express my strong personal support and that of the American Library Association, for a second White House conference in 1989, as authorized by the House joint resolution.

Mr. Chairman, when you introduced this measure a year ago, you labeled your introductory statement "America's Libraries in Crisis." It is indeed in 1986 a time of crisis for libraries, not only because of this administration's shortsighted attitude toward public access to information and support of libraries, but because rapid technological advances are changing the delivery of information and thus the library's role, because of libraries' increasing importance in combating illiteracy, and because of the continuing challenge of meeting the information needs of a pluralistic and democratic society.

I thank you, Mr. Chairman, for your leadership on this landmark legislation, and I urge the subcommittee to approve it promptly.

Before closing, I wish to provide all members of your subcommittee a copy of the New York brochure showing the impact of Federal funds on libraries, and also to submit a copy of this for the record.

Thank you, on behalf of the American Library Association, to share our ideas with you today.

Mr. FORD. Thank you very much. Mr. Buckley.

[Prepared statement of Francis J. Buckley follows:]

Statement of

Francis J. Buckley, Jr.
Assistant Director for Technical Services
Detroit Public Library

before the

Subcommittee on Postsecondary Education
House Committee on Education and Labor

on

OMB Circular A-130, Management of Federal Information Resources
and the Federal Depository Library Program

April 8, 1986

My name is Francis J. Buckley, Jr. I am the Assistant Director for Technical Services at the Detroit Public Library. Our library has a long and distinguished history of cooperative relationships with the Federal Government in the provision of library services to the citizens of Detroit, the Detroit Metropolitan area, and the state of Michigan. The most longstanding may be our designation as a depository for federal government publications, which has been in effect since 1868. Our library uses government publications extensively as primary source material for information to serve our public, academic, and business communities.

I am pleased to appear today as one of the representatives of the American Library Association. I am currently a member of the Association's policy setting Council and of its Legislation Committee. I am a past Chairperson of the Association's Government Documents Round Table and the Ad Hoc Committee to Form a Coalition on Government Information. As a member of a profession dedicated to meeting the daily information needs of our nation, I appreciate the opportunity to comment on information policies and programs in OMB Circular A-130, Management of Federal Information Resources, which may seriously restrict the availability and accessibility of government information to the public, the nation's libraries, and the Federal Depository Library Program.

Because the federal government is the largest single producer, consumer, and disseminator of information in the nation, it is, in this period of fiscal constraint and technological evolution to an electronic information age, at a critical juncture for the formulation of information policies and programs that will have a long-term effect. We are concerned that the interpretation and implementation of certain of the policies in OMB Circular A-130 may severely reduce the availability of government information to libraries and the public. The circular includes a number of debatable policies regarding access, dissemination, data collection, maximum feasible reliance on the private sector, user fees, cost-benefit analysis, and other matters. In a December 23, 1985 editorial, "Privatizing the Numbers," the Washington Post postulated that the circular "would likely reduce the number of printed government publications available to libraries or at low cost and increase the already widespread practice of private outfits interfacing with government computers and providing printouts for users at hefty fees."

In many respects the concern of the American library community is a clear reflection of the public concern in the area of access to government information. Librarians throughout the nation seek and use government information not for their own purposes, but as intermediaries for the public. This role, in turn leads to an awareness on the librarian's part of the diverse interests, information needs, and expectations of the public. Although many of our concerns focus on the Federal Depository Library Program, it is important to note that there are over 100,000 libraries in the United States, only 1390 of which are depository libraries. Nearly all of these libraries, whether serving elementary school children, university scholars, the general public, or business and industry, rely to some degree on the ability to access government information through free distribution, purchase, or interlibrary loan.

Because information is not a consumable commodity, making its existence widely known and available reaps the greatest benefit from those dollars spent on its generation. Widely accessible and low cost government information stimulates economic, educational, scientific and technical development in areas ranging from agriculture and art, to solar energy, space technology, and zoology while also making the American people aware of the activities of their government. Demographic information, health research, studies of social trends and social problems, basic scientific research, and information of use to business and industry which is collected, compiled, or produced by the federal government stimulates growth and development in our society.

In a Proclamation in honor of Freedom of Information Day, 1986 President Reagan recognized the importance of access to government information:

> A fundamental principle of our Government is that a well-informed citizenry can take part in the important decisions that set the present and future course of the nation. Our Founding Fathers provided in the Constitution and in the Bill of Rights freedoms for all Americans, many of which are promoted by open access to information. Numberous Acts of Congress, including the Freedom of Information Act, are intended to further this principle. Most Americans, having never known any other way of life, take for granted open access to information about their Federal, State, and local governments. They also understand that some secrecy is necessary to protect both national security and the right to privacy.
>
> March 16 is the anniversary of the birth of James Madison, our fourth President and one of the principal figures in the Constitutional Convention. Madison eloquently expressed the guarantees in the Bill of Rights, in particular in the freedoms of religion, speech, and of

> the press protected by the First Amendment. He understood the value of information in a democratic society, as well as the importance of its free and open dissemination. He believed that through the interaction of the Government and its citizens, facilitated by a free press and open access to information, the Government could be most responsive to the people it serves. Surely the American experience has proved him right.

The present multiplicity of public and private sector programs for dissemination of government information products for public access, while not as coordinated and efficient as one would wish, offer a model for meeting the various government, public, and private interests in federal information. A basic level of accessibility to government information is provided for all citizens by the Government Printing Office (GPO) Federal Depository Library Program, as specified in Chapter 19, Title 44, U.S. Code. Informational matter published as an individual document at Government expense, or as required by law, is distributed to geographically dispursed libraries for public consultation. The Federal Depository Library Program acts as an information safety net for the public. The program distributes copies of unclassified government documents of public interest and educational value in paper copy or microfiche to nearly 1400 designated libraries. Public, academic, state, and federal libraries serve as depositories. At least one depository library is located in each of the 435 Congressional Districts. These libraries receive publications issued by the Executive, Judicial, and Legislative branches at no charge in return for maintaining the documents and providing free public access. There are 51 regional depositories (including the Detroit Public Library) which receive and retain all documents. The remainder are partial depositories which select the series of documents of most interest to their constituencies, and borrow from other depositories to fill requests for items not selected. The Government Printing Office obtains most depository publications by increasing the print run as they produce agency publications. Agencies printing publications through any other channels are required to provide copies for depository libraries at the agency's expense. GPO then prepares and publishes a central list of government publications, the Monthly Catalog of United States Government Publications, and distributes copies of the documents to the depository libraries which have requested them. In 1985 the Government Printing Office distributed copies of approximately 55,000 titles in both hard copy and microfiche formats. The average number of libraries receiving hard copy items is 400. Microfiche items are selected by an average of 453 libraries. This is not an overwhelming or excessive distribution given the size and population of the United States. The number of titles distributed has been relatively constant the last few years, despite reductions in agency publishing, because GPO has been aggressively seeking fugitive publications not previously provided to the program. Given the current fiscal concerns of the government, I should point out that the Federal Depository Library Program is an extremely cost effective mechanism for providing a basic level of access to government information for the public. The cost to the Government Printing Office for printing and distribution is approximately $24 million dollars, about $17,300 per depository library, or about 10¢ per person in the United States. Other government agencies also support the program by providing copies of materials published other than through GPO. The program is a cooperative venture in which many libraries invest a great deal. At the Detroit Public Library a sample study, a few years ago, indicated we were spending over $250,000 to support public access to goverment documents.

To complement depository dissemination, many agencies, in accordance with their program objectives, distribute free copies of publications to individuals, educational organizations, libraries, state and local governmental units, and public or private sector organizations. In addition the Government Printing Office, the National Technical Information Service (NTIS), and various federal information clearinghouses offer nonprofit sales programs which recover the cost of duplication and dissemination of publications to individuals or organizations. In 1985 both GPO and NTIS have experienced significant reductions (up to 25%) of the number of new publications made available for sale due to curtailments in agency publishing.

Lastly, private sector publishers play a vital role in the process by republishing and marketing noncopyrighted government information to reach the widest possible audience. Often government information is repackaged by one or more private publishers in alternate formats or with supplementary material to add value and utility to the new product.

This diversity of channels for the dissemination of government information in hardcopy must be maintained to achieve sufficient access to such information for all Americans. The same principles should also be applied to government information in electronic files. There is an accelerating tendency of federal agencies to use computer and telecommunications technologies for data collection, storage, retrieval, and dissemination. More and more government information is being stored in electronic format, and printed versions are being eliminated. Access to some government data files is being provided only via contractual arrangements with commercial vendors who provide fee based search services, or through the sale or lease of the tapes or discs, although the Patent Office has a prototypical system providing access to their classification database to patent depository libraries. The American Library Association has requested programs for free public access to government publications in all formats, interpreting Title 44, U.S. Code, in a broad sense in light of new technological ways of publishing.

Thematic concerns of the Congress and last several Administrations have been improved management, efficiency, and productivity of government operations. As individual citizens and tax payers and as managers of service delivery organizations, we appreciate those efforts. Since the enactment of the Paperwork Reduction Act of 1980 (PL96-511) under President Carter, the Executive Branch has been mandated to establish uniform Federal information policies and practices in order to reduce the paperwork burden on persons and organizations required to furnish information, enhance the economy and efficiency of government, and increase the availability and accuracy of agency data and information. However the current Administration's policy decisions, interpretation and implementation of the Paperwork Reduction Act, implementation of the Grace Commission recommendations, management initatives to reduce government publications through Reform 88 and annual reviews of agency publications under OMB Circular A-3, as well as agency budget cuts have combined to significantly reduce the government information available to the public. In a statement before the Senate Committee on Governmental Affairs James C. Miller III, Director of the Office of Management and Budget, highlighted as a major accomplishment of the Reagan Reform 88 Management Improvement Program the elimination of one quarter of all Federal Publications. Many were individual publications which are no longer stocked for distribution, but some were series which are no longer being published and others are new pamphlets and reports which will not be published. The subjects range from mundane and, in the view of some people, ephemeral topics such as getting rid of bedbugs, raising hampsters, or growing tomatoes, to significant consumer and health information, statistics on the cost of living in various cities across the country, annual reports of agencies such as the Department of Housing and Urban Development, and many more specialized publications. Because of our work with the public, librarians have an intimate knowledge of the usefulness and crucial importance of a wide range government information to citizens of all walks of life and all segments of our society.

Often there are no alternatives as sources for the data or because price constraints for libraries and for individuals create an economic barrier.

OMB Circular A-130 is of particular concern as a codification of the present administration's policy in the area of information resources management. It puts in perspective and calls attention to the information activities of Executive agencies over the past few years and outlines future directions. An OMB Circular is a government-wide policy directive that tells Executive Branch agencies how they should implement laws or presidential policies. It does not have the force of law or regulation. However the Director of the Office of Management and Budget uses fiscal budget reviews and other measures to ensure agency compliance.

OMB Circular A-130 is designed to implement provisions of the Paperwork Reduction Act as well as other statutes, executive orders, and Executive Branch management philosophy concerning general information policy, information technology,privacy, and maintenance of Federal records. The Circular has laudable goals to assist agencies to manage information activities in an efficient, effective, and economical manner. In the Circular OMB recognizes the importance and value of government information to society, the economy, and to the management of government itself. They acknowledge that the free flow of information from the government to its citizens and vice versa is essential to a democratic society. But they also note that government information is itself a commodity with economic value in the market place and that according to the Paperwork Reduction Act it is essential that the government minimize the Federal paperwork burden on the public and minimize the cost of its information activities as well as maximize the usefulness of government information.

In the Circular OMB has given greater emphasis to tests and procedures designed to restrict and control government data collection, publishing, and dissemination than to public service. They have articulated a distinction between "access to information" and "dissemination of information" in order to elaborate and differentiate the responsibilities of Federal agencies for providing information to the public. Access would refer to situations in which the government's role in passive, merely responding to requests for information the government has and to which the public is entitled under the Freedom of Information Act (FOIA), the Privacy Act, or other statutes. Dissemination would refer to a more active, but controlled, outreach function of distribution of information in any format to the public. Given the complexity, difficulty, and cost for the public to identify and obtain information under FOIA, that is a very restrictive mechanism for access to government information.

There are multiple tests and conditions to be met before agencies collect or create information which will have a constricting impact on the amount of information accumulated by the government. Agencies are required to "create or collect only that information necessary for the proper performance of agency functions and that has practical utility, and only after planning for its processing, transmission, dissemination, use, storage, and disposition." Agencies are to "seek to satisfy new information needs through legally authorized interagency or intergovernmental sharing of information, or through commercial sources, where appropriate, before creating or collecting new information." In addition complex analysis is required because "the expected public and private benefits derived from government information, insofar as they are calculable, should exceed the public and private costs of the information."

As explained in Appendix IV of the Circular the constraints on information collection are not intended to diminish or derogate the creation or collection of information which is so vital that the American form of government, the economy, national security, and citizens' safety and wellbeing could not continue to exist in its absence. The intent is efficient, effective, economical management. The question is one of interpretation. As agencies are required to cut budgets, how narrowly will they define what is necessary for the proper performance of agency functions? Both the Department of the Treasury and the Department of Housing and Urban Development have ceased publishing annual reports. What standards will be applied in terms of practical utility criteria? How extensively will agencies have to plan for the information life cycle? Appendix IV indicates that the absence of adequate planning is sufficient reason not to create or collect information in the first place. To what extent should agencies utilize information from other agencies or the private sector? Apprndix IV suggests this is not an indiscriminate requirement, recognizing that some information can only be created or collected by Federal agencies, or must be in order to assure accuracy and legitimacy.

Dissemination of information products and services is also only to be undertaken if a number of conditions and tests are met under the policies promulgated in the circular. It must be specifically required by law or necessary for the proper performance of agency functions provided that it does not duplicate similar products or services that are or would otherwise be provided by other government or private sector organizations. The latter restrictions are particularly worrisome. Non-duplication of services within the government is encouraged by the Paperwork Reduction Act. Non-duplication of present or potential private sector services is an administrative philosophy. Commercial sources of information can not be depended upon to provide uninterrupted collection and dissemination of information in a fluctuating and competitive environment. The validity, accuracy, and completeness of commercial data may only be validated by alternate government information resources.

New positive policies regarding agency dissemination activities provide for adequate notice to the public before intiating or terminating significant products or services, and would require dissemination in a manner that ensures that members of the public whom the agency has an obligation to reach have a reasonable ability to acquire the information. However such dissemination is to be performed in the most cost effective manner, placing maximum feasible reliance on the private sector, and recovering costs through user charges where appropriate. The latter requirements could significantly undercut public access. The privatization of government information would reduce the information available to the public in depository libraries. It would place responsibility for the integrity of U.S. Government information and the impartiality of the dissemination in the hands of privately owned organizations, including those owned by foreign companies. It would require citizens who wish access to government information to purchase information at profit-making prices when their taxes have already paid for the initial collection or creation of the information by the government. Although the imposition of user fees is not intended to make the ability to pay the sole criterion for determining whether the public receives government information, it can impose a barrier for many individuals and could set the stage for an information elite. OMB proposes privatization, but also in Appendix IV, cautions against permitting contractors to exercise monopolistic controls or to set unreasonably high prices.

In response to public comment, OMB added to the circular a provision that agencies should ensure that government publications are made avialable to depository libraries. This provision should help assure access to the information which is collected compiled, and published by government agencies. Our concern is for necessary information no longer generated by the government or no longer disseminated by the government. Despite the public service caveats and good managerial intentions, we believe the impact of the circular will be so restrictive that much less government information will be provided to Federal Depository Libraries or available to other libraries via free distribution or non-profit sales programs.

These reductions in the availability of government information would be particularly significant in this period when fiscal contraints on libraries would not permit the purchase of corresponding information from alternative private sector sources.

Libraries, the general public, and congress will have to closely monitor the impact on all aspects of our society of the implementation of the policies and programs in OMB Circular A-130, Management of Federal Information Resources.

TESTIMONY OF FRANCIS BUCKLEY, JR., ASSISTANT DIRECTOR FOR TECHNICAL SERVICES, DETROIT PUBLIC LIBRARY, DETROIT, MI

Mr. **Buckley**. Thank you.

I am the assistant director for technical services at the Detroit Public Library. Our library has a long and distinguished history of cooperative relationships with the Federal Government in the provision of library services to the citizens of the city, the metropolitan area, and the State of Michigan.

The most longstanding of these relationships, I believe, is our designation as a depository for Federal Government publications which has been in effect since 1868. Our library uses Government publications extensively as primary source material for information to serve our public, academic, and business communities.

I would like to quote to you a resolution, a proclamation, that was issued by President Reagan last month in honor of Freedom of Information Day. He said:

> A fundamental principle of our Government is that a well informed citizenry can take part in the important decisions that set the present and future course of the nation. Our Founding Fathers provided in the Constitution and in the Bill of Rights freedoms for all Americans, many of which are promoted by open access to information. Numerous Acts of Congress, including the Freedom of Information Act, are intended to further this principle. Most Americans, having never known any other way of life, take for granted open access to information about their Federal, State, and local governments. They also understand that some secrecy is necessary to protect both national security and the right to privacy. March 16 is the anniversary of the birth of James Madison, our fourth President and one of the principle figures in the Constitutional Convention. Madison eloquently expressed the guarantees in the Bill of Rights, in particular in the freedoms of religion, speech, and of the press protected by the First Amendment. He understood the value of information in a democratic society, as well as the importance of its free and open dissemination. He believed that through the interaction of the Government and its citizens, facilitated by a free press and open access to information, the Government could be most responsive to the people it serves. Surely the American experience has proved him right.

I find a contradiction between this statement issued by President Reagan last month and Government actions which have been taken over the last 3 and 4 years that contradict the spirit and the philosophy expressed in this proclamation.

Also last month, Mr. Miller, the Director of the Office of Management and Budget, in reporting on the success of the Reform '88 Management Improvement Program of the Reagan administration, announced that one-quarter of all Federal publications have been eliminated. Over 120 million unnecessary, in his terms, publications have been cut. These have been accomplished by OMB budget cuts for agencies, reviews of agency publication authorizations, and requirements that they cut percentages of their publications.

These cuts are cutting into more than public relations materials, propaganda or puffery pieces. It's cutting consumer and health information, statistics, social and demographic data that is important to citizens throughout this country.

OMB has used the mandate of the Paperwork Reduction Act but extended its interpretation, even though the basic authorization has expired. OMB Circular A-130, which was issued December 24, 1985, is a codification of the administrative interpretation of law, regulations and administrative philosophy in this area. It is an expression of the policies behind the actions of the last several years, and a justification and outline for future action.

We must be concerned about this, because despite the polite announcements of public service goals and considerations within the circular, our experience over the last several years has shown that the bottom line is dollar cuts which are being made irrespective of public need. The overwhelming emphasis of the basic policies in the circular regarding information creation, collection, access and dissemination is an emphasis on the tests, condition, studies and analyses that are in effect barriers before agencies can take action in the information area.

For example, the distinctions that OMB is creating in the circular between access and dissemination of information put an emphasis on the Freedom of Information Act as a basic mechanism for access to Government information. Yet, although FOIA is important as a basic right, it is certainly not a practical, everyday method for ordinary citizens to obtain Government information. It is expensive, time consuming and a complex process.

Before Government agencies are to create or collect information, they are going to be required to do an anlysis of the public and private cost and public and private benefits, insofar as they are calculable. Agencies are required only to create or collect that information necessary for the proper performance of agency functions which has practical utility, and only after planning for its processing, transmission, dissemination, use, storage and disposition, as well as being required to seek information either through intergovernmental sharing or from commercial sources.

All of these requirements are burdensome administrative activities that inhibit the creation and collection of information, as well as being very difficult to implement. Doing cost benefit studies in the area of information is a very theoretical prospect, especially when one is considering the ramifications of public benefit across the country; and the interpretation of agency function—what is the proper performance of an agency?—may be construed narrowly or broadly in the public interest.

Other barriers before dissemination of Government information are additional conditions and tests. Unless specifically required by law, agencies shall only undertake dissemination necessary, again, for the proper performance of agency functions, and dissemination which does not duplicate products or services that either are offered now or which otherwise would be provided in the future by either Government units or the private sector.

I think if we say that in a vacuum—that nature abhors a vacuum, and the Government retreated entirely from the information dissemination arena, eventually, some of this information would be made available by someone else. We could justify never issuing any Government information to the public.

Commercial sources cannot, however, be depended upon in a competitive environnent to provide uninterrupted collection or dissemination of information. The validity, accuracy and completeness of commercial information can often only be assessed by reference to independent government data.

OMB proposes several positive policies in this circular which do require public notice before starting or terminating significant information products or services. This was requested by libraries during the comments period to assure that adequate input was provided to agencies in their decisionmaking process.

OMB also indicates that agencies have a responsibility to undertake dissemination in such a way so as to reach the people has an obligation to reach. This is a wonderful public service goal statement. However, it is qualified by the restrictions that the agencies are to operate in a manner most cost effective for the Government, with maximum feasible reliance on the private sector, and so as to recover costs through user charges where appropriate.

These restrictions have the potential for transferring much Government dissemination outside the Government arena, and removing material from the purview of the depository library program, and also from Government nonprofit sales programs. In addition, it has the potential for creating an information elite of those with the ability to pay and to purchase access to Government information.

OMB also responded to libraries who commented on the draft of the circular by inserting as the last policy statement a reminder to agencies that they should comply with the Federal depository program and provide information to that program. Depository libraries are concerned as to what they will have access to, with the ramifications of cuts in Government information which are progressing daily.

These cuts will affect—these cuts in Government information will affect all libraries and, in particular, depository libraries which act as an information safety net for the public and for other libraries. Depositories receive free copies of Government documents in return for making them accessible to the public that they serve and via interlibrary loan to other libraries who don't have those resources.

If depositories no longer receive free copies, it will drastically reduce accessibility to Government information, since few libraries will be able to increase their expenditures to purchase new material in any massive increments.

At the Detroit Public Library we are currently spending over $250,000 a year just to provide service currently to the depository documents we receive. This is due to the high volume of requests and use that we have for those materials. We could hardly increase this in any significant manner to purchase from the private sector the information to provide this service.

Libraries are caught in a very complex and difficult situation. As service providers we attempt to do the best we can with the resources available, and we have a long tradition of managing on meager budgets. We pinch pennies and stretch dollars. We are not a flock of golden geese, however, with spare funds to throw around and to purchase additional information.

The import of privatization of Government information will be reduced accessibility to the general public. It will also mean increase to the Government for that information that must be purchased by Government agencies for their own use, since products that contain that information will be available at higher prices than nonprofit Government sales programs or via, certainly, free programs for dissemination that are currently in existence to Government agencies.

Libraries will not be able to purchase the range or scope of information that they now make available to the public. A good example of this potential impact arose last year when the Merit Systems Protection Board, not a large agency, proposed to cease publishing its decisions, because they were also available through the private sector. This would have effectively curtailed access to that information in the community served by 472 depository libraries which received those decisions through the Government Printing Office, most of whom probably would not have been able to take advantage of the printed or online services which made those decisions available at prices ranging from $250 to $500 per year.

Since the series was also sold by the Government Printing Office at about $55 a year, the approximately 500 to 1,000 purchasers would also have had to confront hefty price increases for just those decisions from that one agency.

This situation has been ameliorated since the effect of this decision was called to the attention of the Board. But imagine the effect on libraries if thousands of series of Government publications are only available from the private sector at high cost.

Another impact on library budgets causing strain on interlibrary loan of Government documents and other materials are changes in postal rates, an issue which you, Mr. Chairman, I understand, have particularly strong concern. Because of the increases in postal rates, at the Detroit Public Library our postage expenses for the first quarter of this year are more than $5,000 higher than they were in the first quarter last year.

This does not yet reflect the full effect of the March 9, 1986, increase in third class bulk nonprofit or fourth class library rates. We expect our cost to increase by several thousand dollars more per quarter. This will result in approximately $25,000 annual increase in postage expenses for the Detroit Public Library.

This is the cost of several thousand books not purchased, or a staff position not filled, maintenance and repairs forgone, or capital investment and equipment to improve efficiency which was not made.

As a public service institution, we are limited in our ability to raise revenues or pass cost increases such as these on to our consumers. As a State resource library, we are called upon heavily by other libraries for interlibrary loan of books, periodical articles and Government documents. In general, we do not charge libraries which borrow from us in order to facilitate resource sharing and not impose economic barriers for library patrons.

If, indeed, full commercial rates were to be imposed in October, due to the absence of a postal subsidy, or if the criteria for eligibility for use of nonprofit rates or library rates were changed to eliminate mail which advertises or promotes library services, this would further drastically impact on library service to the public.

Scarce resources would have to be diverted from other activities, and libraries would be hampered in their efforts to inform their publics of services and programs.

Yet another example of the impact of current Government budget cuts are the potential drastic consequences for libraries and the public of closure of the House and Senate Documents Room and the virtual elimination of free distribution of copies of bills, documents, reports, hearings, and consumer prints—committee prints, which is being proposed currently. Only free public access would be available through depository libraries, and depository libraries don't receive Government documents immediately. There would be a time barrier before the public would have access to these.

The only other avenues of access would be purchase through the Government Printing Office, which again would be at a time constraint, a monetary constraint, on effective public participation in a basic democratic process.

I thank you, Mr. Chairman, for the opportunity to present these remarks.

Mr. FORD. Thank you. Ms. Martin.

[The prepared statement of Susan Martin follows:]

Statement of

Susan Martin

Director of Libraries

Johns Hopkins University

Before the House Subcommittee on Postsecondary Education

THE IMPACT OF
THE ADMINISTRATION'S POLICY DIRECTIVES AND BUDGET PROPOSALS
ON
LIBRARIES AND LIBRARY SERVICES

April 8, 1986

My name is Susan Martin and I am Director of Libraries at Johns Hopkins University. I appear before the Subcommittee on behalf of the Association of Research Libraries, an organization of 118 of the largest academic and other research libraries in the United States and Canada. ARL libraries have a vital interest in any and all U.S. Government actions that influence the availability and quality of information resources and services and we appreciate this opportunity to testify about a series of government actions that have serious long term consequences for information and research resources of the nation.

The foundation of our democratic form of government in the United States is an educated, politically aware, and informed citizenry. From this principle flow two assumptions that have shaped the government's policies toward libraries and public information programs. The first assumption is the recognition that it is to the benefit of all the people of the United States for the federal government to maintain a role in promoting quality library services and inter-library cooperation, as well as access to and preservation of the research resources of the nation. The second assumption is that it is the responsibility of the federal government to provide effective mechanisms for maintaining public awareness of the actions of government through the availability of government information. Libraries have shouldered a large share of this responsibility by making collections of public documents available to the public but the primary responsibility rests with the government. Recent actions by the Administration and Congress challenge and undermine these two assmptions. Of great concern to the academic community are the following developments:

> For the fifth year in a row, the Administration has proposed the elimination of all funds for the Higher Education Act Title II library programs and the Library Services and Construction Act.
>
> For a second year, the Administration has proposed elimination of the 4th class library postal rate.

The Federal Communications Commission has approved four telecommunication private line rate changes that result in a total 43% increase in the last year, affecting the automated inter-library systems that have been developed during the past 15 years to link the nation's libraries.

The Administration's philosophy of privatization of government functions has been applied to federal libraries (OMB Circular A-76) and the management of federal information resources (OMB Circular A-130).

The Administration has drawn a distinction between government publications and government information that within the context of adopted policy on management of federal information resources (OMB Circular A-130) restricts access to public information.

Congress has cut the budgets of the three national libraries - the Library of Congress, the National Agricultural Library, and the National Library of Medicine — and the Government Printing Office.

The Joint Committee on Printing has announced the closing of the House and Senate Document Rooms to the public and suggested to Members of Congress that they not give any bills, hearings or other Congressional publications to the public.

These and other actions of the federal government have already had a negative impact on libraries. The long term effect, if these decisions and policies continue, will lead to a fundamentally altered approach to education, research, and policy making in this country and to the level of knowledge of its citizens. Access to information will be restricted to those individuals or communities with the ability to pay and to those who the federal government decides have a 'need to know'.

To grasp the very serious consequences of these actions on scholars and students, it is necessary to appreciate how the needs of library users have changed within our highly competitive, "service industry dominated" and "information age" society and how these and other changes have affected libraries. Academic libraries exist to serve the informational and research needs of scholars, students and the community in general and as information technology makes new formats and services feasible, user needs expand. Since about 1960, the rate of change within academic libraries has been phenomenal.

Cost of Acquiring Ever Increasing Numbers of Research Materials

The dramatic increase in the number of books and journals being published and their escalating prices have found libraries, even the Library of Congress, financially unable to continue to collect all relevant titles. The costs of acquiring research materials rose dramatically in the late 1970's, peaked in 1981, and then leveled off with steady but more moderate increases. A ten-year analysis of information from 84 research libraries indicates that since 1974, expenditures increased for books by 93% and for serials by 155%. However, the number of volumes held by these libraries increased by only 31% during the same ten year period. Difficult choices have to be made about what materials will be acquired and the sharing of materials among libraries is a necessity if all the needs of local researchers are to be met.

Expanding Scope of Research Materials

Materials needed by scholars have always included unpublished material such as archives and manuscript material. With the development of electronic technologies however, the definition of "published" is no longer clear and libraries face the new challenge of acquiring, storing and servicing unpublished and pre-published scholarship in electronic forms. A library's ability to acquire and store electronic information, such as a computer tape or disk that can be changed and erased, will have a significant impact on what information is available for future investigations.

The Deed to Actively Preserve Material Already Acquired

Add to this agenda the necessity to address the phenomenon of massive numbers of materials disintegrating in library collections because of the acidic paper used by publishers since about 1850. Strategies have been developed for undertaking the huge task of preserving these materials and significant projects are underway. However, the resources available to address the preservation challenge are far short of being able to keep up with either the present needs or the anticipated acceleration of the disintegration of the nation's research resources.

The size of the preservation challenge is daunting. Depending on the age and nature of the library collection, recent studies of research library collections indicate that one quarter to one half of the volumes held are already in such poor condition that one additional use by circulation or photocopying may result in loss of the book. Since age is a major contributing factor to the deterioration process, each year the problem gets larger as increasing numbers of books arrive at a condition that requires immediate attention. All but 10% of the book collections will eventually reach this fragile condition unless measures are taken to stem disintegration. To make matters worse, the increase in the number of books that need to be treated will not be steady but will expand rapidly because of the distribution of publication dates of books held by libraries. Due to increases in publishing and in library collecting activity, most large academic library collections hold more late 19th century volumes than mid 19th century volumes. As a consequence, a century later, there is an urgent need to accelerate preservation activity or face the loss of large segments of the nation's historical research resources.

Federal Support for Libraries

It is acknowledged that the only way libraries will be able to cope with the ambitious task at hand is to work together in cooperative programs that facilitate sharing of books and other library material and minimize costs by avoiding duplication of expensive library operations such as cataloging and preservation. Federal programs that feed, support, and encourage this cooperation are now threatened - for example by the Administration's proposal to eliminate library programs altogether and, by Congressional cuts in the budgets for national libraries and library-related programs.

Impact of Budget Cuts at National Libraries on Other Libraries

The Library of Congress (LC), the National Library of Medicine (NLM), and the National Agricultural Library (NAL) each have national roles that form critical elements of a nation-wide network of all kinds of libraries that work collectively to meet the informational and research needs of students, faculty, independent researchers, business and industrial leaders, policy makers and the general public. The budget cuts for these three federal libraries for fiscal year 1986 will be evident in library services across the country for many years to come and the worst cuts are the least visible.

The recent $18.3 million reduction in LC's budget required that the acquisition budget be cut by 13% necessitating the cancellation of journal subscriptions and almost ceasing the purchase of retrospective material. In addition, 25,000 titles will not be cataloged and 5,000 fewer books will be treated in the library's preservation microfilming program. LC's staff will be reduced by 300 positions and public service hours have been cut by one third. NAL and NLM also anticipate reductions in the amount of material acquired and cataloged or indexed, and NLM's recently established preservation microfilming program will be significantly scaled down.

Material not acquired this year, especially foreign publications typically printed in small numbers, may not be available for purchase later and may therefore never be available for use within this country. Material not cataloged or indexed will be inaccessible for users not just in the national libraries, but across the country as all libraries depend upon these three libraries for cataloging and indexing information. Unique material in these collections may disintegrate before funds are made available to preserve them and will thus be lost to future users.

Not only do the budget cuts have a negative impact on the timely availability or ultimate preservation of research resources across the country, they are also requiring a reallocation of resources within other libraries that ultimately results in fewer books and journals available in the nation's libraries. For example, the library at the University of California in Los Angeles calculates that the estimated drop of 25,000 records in LC cataloging will require their own cataloging costs to increase by $290,000. They predict that this added expense will have to made up from their acquisition budget resulting in approximately 6,100 fewer new titles purchased for the collection.

The HEA II-C Program for Research Libraries

Part C of Title II of the Higher Education Act was established for the purpose of enhancing the quality of research and education throughout the United States by providing awards to the nation's major research libraries to maintain and strengthen their collections and to make their holdings available to other libraries whose users have need for research materials. Title II-C projects build on existing strengths in order to assist libraries to make unique material, or material not widely available, accessible not only for local use but also to researchers and scholars throughout the nation. The program ensures that the most significant research collections are part of the national network of interlibrary lending and therefore extends benefits far beyond the institutions that receive the awards.

In the eight years that the program has been funded, 71% of the II-C appropriations have been awarded for projects that provide bibliographic control of material held by libraries (thereby facilitating access to the material by other libraries), 21% has been awarded for projects to preserve research materials, and 8% has been awarded for collection development.

The Administration consistently proposes that the II-C program be eliminated in spite of the known magnitude and urgency of the preservation challenge facing the nation's libraries (noted earlier in my statement) and in spite of studies that estimate that there are still between 6 and 7 million titles of books of academic significance that have limited availability to scholars because bibliographic records for them are not yet in machine-readable form.

HEA Program for Application of Technology in Libraries

Technological developments have contributed to the ability of libraries to offer better services to users. Technology has helped to increase bibliographic or intellectual access to research materials, no matter where they are actually held, and has reduced the rate of increase of costs for library operations.

Even with evidence of the advantages technology has to offer, many academic libraries have not been able to allocate funds from their operating budgets sufficient to acquire the equipment necessary to join a network for sharing library materials - the initial investment has posed a significant barrier. The library community has recommended and received support from this Subcommittee and the full House to update the existing part D of HEA II with language that establishes a program to assist academic libraries with application of new information and telecommunication technologies. In addition to helping more libraries join the nation-wide networks, the program also encourages the development of demonstration projects to test new technological applications for libraries services.

For example, I have already mentioned the need for libraries to acquire, store, and service information in electronic form on behalf of users. The proliferation of databases makes it desirable and technologically feasible to link these databases and provide electronic gateways from one to another. The House proposal for HEA II-D would make it possible, for example, for institutions of higher education or non-profit organizations that provide library and information services to institutions of higher education, to conduct research or demonstration projects to test and evaluate different linkage configurations and develop exemplary uses of technology that could be replicated by other libraries.

The Senate has rejected the proposal for II-D with the general explanation that the Senate does not wish to include any new initiatives within the HEA. I encourage the members of this Subcommittee to work for retention of this provision for II-D when it comes time to reconcile differences in the House and Senate bills that reauthorize HEA. It is a modest program but, as you have already recognized, one that would facilitate application of technology in libraries and therefore be of benefit to users of libraries.

HEA Support for International and Foreign Language Study

Title VI of the Higher Education Act addresses the need for international study and research and foreign language study. Since material published outside the United States is essential for these students and researchers, the law specifies that institutions receiving funds to support Title VI programs allocate some of the award toward the purchase of library resources to support international studies and language programs. This provision in the current law has contributed to the availability of foreign language resources in libraries but due to some practical considerations, it has not been successful in building collections of periodicals or other subscription materials.

Significant improvement in the nation's collections of periodicals from foreign countries depends upon establishing reasonable assurance that funds will be made available on a regular basis to support continuing subscriptions. In addition to a general decline in the percent of Title VI funds used for foreign language resources, experience has been that the availability of funds for library material has been erratic - with considerable variation in amounts from year to year. As a result, most funds have been used to purchase books instead of periodicals since there is uncertainty that funds will be made available to maintain the subscription.

This Subcommittee addressed the matter and on your recommendation the full House adopted an amendment to Title VI-A that earmarks a modest annual appropriation for the acquisition of periodicals published outside the United States. I urge the members of the Subcommittee to retain this amendment in negotiations with the Senate as their response, while acknowledging the importance of the material, falls short of the target by not setting aside even a small amount to secure foreign periodical literature.

Access to Government Information

A large number of the databases required by users of academic libraries are created and maintained by the federal government and contain information of considerable importance for research, assessment of government programs, and analysis of public policy. As increasing amounts of government information are available only in electronic form, libraries must secure lines of access to this information.

The Office of Management and Budget Circular A-130, issued in final form in December 1985, codifies Administration practices and policies regarding the collection and availability of information collected or created by the U.S. Government at taxpayer expense. The circular has been the subject of considerable discussion and concern within Congress, Executive branch agencies, state governments, and the academic community including librarians. A-130 reaffirms the Administration's policy of commercialization and privatization of public information programs and will sharply reduce the federal government's activities in the area of collection, access, and dissemination of information to the public.

The circular establishes distinctions between government information (information created, collected, processed, transmitted, disseminated, used, stored, or disposed of by the federal government) and government publications (informational matter which is published as an individual document at government expense, or as required by law), and between access (the function of providing to the public, upon their request, the government information to which they are entitled under the law - a passive or reactive function) and dissemination (distributing government information to the public, whether through printed documents, or electronic or other media - an active function). When put to work within the parameters of the policies established by the circular, these distinctions curtail both the amount of information collected and the amount disseminated.

A-130 directs agencies to collect, create or disseminate information only when it is either required by law or necessary for the proper performance of agency functions. How OMB interprets the proper performance of an agency function may differ from the interpretation of an agency official or Congress. To state the obvious, democratic government is highly dependent on good information and accurate statistics and there is therefore a direct connection between the policies of Circular A-130 and the shaping and conduct of programs and policies of executive branch agencies. Circular A-130 gives OMB leverage over the information activities of an agency that is expected to have a significant impact on the extent and quality of federal information available to policy makers, scholars, and the general public.

The Circular stipulates further requirements for an agency in operating an active dissemination program. Dissemination of public information is permitted only if (1) it is required by law or necessary for the proper performance of an agency mission AND (2) provided that it does not duplicate similar products or services that are or would otherwise be provided by other government or private sector organizations. The circular explicitly extends the privatization principles of another OMB Circular (A-76, The Performance of Commercial Activities) to the functions associated with the management of Federal information.

"Maximum feasible reliance on the private sector for the dissemination of the products or services in accordance with OMB Circular A-76" is not in the best interests of all citizens as it establishes the ability to pay as prerequisite to have access to the information and it opens the door to abuses by encouraging monopoly-like control of public information by private enterprise. This is particularly disturbing when increasing numbers of private information companies are being purchased by foreign-based corporations.

OMB spokesmen address this concern by noting that this monopoly-like control already exists within the federal agency that collects or creates the information and suggest that agencies should take care when turning over dissemination responsibilities to a private company that the company functions as a mere intermediary between the agency and the public. This approach is not reassuring as many question the practical consequences of expecting a for-profit enterprise to adopt all the procedures and attitudes that meet the obligations of a public, government agency. In addition, while A-130 does contain a "basic consideration and assumption" that affirms "the public's right to access to government information must be protected," the introduction states that the "policies in the Circular do not extend to persons or entities that ... disseminate ... information on behalf of the government."

Another problem with A-130 is that it contains statements that are so general that the meaning is unclear and subject to interpretation. Such imprecise statements in a government policy can be used to justify all manner of decisions and actions that are politically convenient but not necessarily in the best interests of the country. For example, there is a statement in the circular that justifies a policy of deliberate 'disinformation'.

A recent article in Aviation Week and Space Technology (March 17, 1986, pp. 16-17) reports the adoption of a deliberate "disinformation" policy by the Defense Department and the Central Intelligence Agency. False or misleading information, including altered technical information, will be released in order to impede the transfer of accurate technological information to the Soviet Union. This is not classified information but unclassified technical data that is openly available - reported at Congressional hearings, in press conferences, and published as part of requests for proposals. The policy applies to technical data relevant to 15 to 20 undisclosed programs, only 5 or 6 of which are Defense Department projects. The article reports that a motivating factor for the U.S. adoption of such a policy comes from having watched the Soviet Union practice this philosophy for years.

Why is a disinformation policy objectionable and why should an academic librarian care? When you taint a category of unclassified information that has such far ranging and yet fuzzy parameters as 'technological information' it confuses and inhibits everyone - not just the intended target of the campaign. There is no way for U.S. users of unclassified technical information to know if they are using data that may be subject to this policy. Even the suggestion of a disinformation policy raises questions of credibility about all technical information reported by the government. Consequently, legitimate access to reliable technical data within the U.S. is impeded and the validity and value of research based on technical data that could have been false is rendered unknowable. This policy inhibits access to information not only to the leaders of the Soviet Union but to any person in this country who the government determines lacks a 'need to know'.

Circular A-130 contains no safeguard against adoption of a disinformation policy. Quite the contrary. The circular states that "Federal Government information resources management policies and activities can affect, and be affected by, the information policies and activities of other nations." It appears that the adoption of information policies such as deliberate disinformation from countries that lack our tradition of openness and freedom, is permissible under A-130. As the circular reads now, it provides justification for the U.S Government to mirror the information policies of other nations no matter how restrictive they may be.

I do not suggest that Circular A-130 instigated the disinformation policy. However I do wish to emphasize that parts of the circular allow such latitude for interpretation of meaning that it may prove to be of more harm than having no statement of policy at all.

Government Information in Libraries

The cutback in the amount of government information disseminated results in less government information in library collections (official government depository collections as well as other libraries) which have traditionally served as geographically dispersed centers for citizens to conveniently and freely consult this material. The distinction Circular A-130 makes between government information and governmement publication is artificial. Based on the Circular, if government information is "published" it is a government publication and should be distributed to depository libraries. However, in the midst of changing information technologies, what is "published"?

Technological advances in information storage, transmission, and retrieval provide government agencies with opportunities to store and manipulate information in electronic forms that is easier to manipulate and perhaps more cost effective. These opportunities should be encouraged but provisions need to found to ensure that the change in format does not restrict availability of the information to the citizens who underwrite the agency with their taxes.

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JCP Pilot Projects

The Joint Committee on Printing established an Ad Hoc Committee to investigate the provision of government information in electronic formats to depository libraries and pilot projects are under consideration to test the feasibility of such a proposal. There has been considerable interest from the library community in moving forward with this experimental program so that libraries may provide better access to government information - regardless of the format.

I encourage this Subcommittee to lend support to JCP pilot projects that would test the cost and usefulness of alternative delivery systems of electronic government information to the public. It is an important initial step that must be taken to address the role of government and libraries in making government information available to the public.

Conclusion

Recent federal government actions that restrict the availability of government information and inhibit the efforts of libraries to meet the information and research needs of the people of the nation are self-defeating. There is a real danger that our national capacity to take action based on informed decisions is threatened. Nothing could be more to the advantage of our competitors, both political and economic, than to undermine the information resources of this nation.

The solution is not obvious nor will it be addressed only by the adoption of a single law or the revision of Circular A-130. The solution lies in a better understanding and awareness on the part of all policy makers to the implications of government actions on information resources that are needed by the academic and general communities. The members of this Subcommittee are particularly aware of how education, or the lack of it, affects the quality of life for everyone in this country. And this hearing is a demonstration of your awareness of the role of libraries and information programs in the educational endeavor. When opportunities present themselves, I urge that you point out to your colleagues consequences of actions that you believe will further erode the foundations of knowledge and information that are available for the people of the United States.

Thank you for this opportunity to present this statement. I welcome suggestions from the Members of the Subcommittee on what we in academic institutions could do to assist in a reversal of the trend we have discussed and I will be happy to try to answer any questions that you may have.

0443I

TESTIMONY OF SUSAN K. MARTIN, DIRECTOR, MILTON EISENHOWER LIBRARY, JOHNS HOPKINS UNIVERSITY, BALTIMORE, MD

Ms. MARTIN. Thank you, Mr. Chairman.

My name is Susan Martin, and I'm director of the Milton Eisenhower Library at Johns Hopkins University. I appear before the subcommittee on behalf of the Association of Research Libraries which is an organization of 118 of the largest academic and other research libraries in the United States and Canada.

ARL libraries have a vital interest in any and all U.S. Government actions that influence the availability and quality of information resources and services, and we appreciate this opportunity to testify about a series of Government actions that have serious long-term consequences for information and research resources of the Nation.

You have my written testimony, and I have gone into some detail in this testimony which you have before you. The future of the Higher Education Act, title II(c), the Government information concerns which have already been referred by my colleagues, are all included within this testimony.

I would like to spend just a short time then touching on some broader aspects of this problem which give me great concern. I will undoubtedly also refer to some of the concerns already mentioned by my colleagues.

First of all, I would like to talk a little bit about the perspective of libraries by ourselves, by the Nation at large, by library users. Mr. Chairman, you mentioned earlier the lack of Federal priority regarding libraries. Libraries are taken for granted. They're an institution which also can be referred to as motherhood and apple pie institutions.

We ourselves, as librarians, are guilty in some ways of talking more about libraries' needs rather than users' needs. And of course, this is taken also for granted. We are here to serve users. But I want to make it very specific here now, that if it were not for users there would be no need for the library programs that we are attempting to refer to today and to protect, and about which we are voicing our concern.

Our users are the Nation, the businessmen of the Nation which use public libraries and academic libraries, students using school and university libraries, corporations using the special libraries, scholars, the Government itself with the vast network of Federal libraries which it has.

Libraries are the most important and widely used resource in our information oriented society. They use both traditional and, now increasingly, innovative resources; and it poses somewhat of a difficult issue for us, because both of these resources, we feel, need to be offered—need to be used by the users of the libraries. And because we are now dealing with both the traditional and the innovative, we are anticipating some costs which were not part of the library equation before, but in order to maintain the information availability to our users will be required in the future.

We need to support, and libraries are needed to support, an educated citizenry. I'm reminded of an opinion piece which appeared last year in the Chronicle of Higher Education, written not by a librarian but by a member of the university faculty, in which he said that he was concerned because, if he was supposed to take a role as a part of the democratic process within this country, he needed information from the Government, and with the assistance of the Government; and he just saw this kind of assistance and information gradually being eroded and taken away from him.

Libraries are suppliers of information which the private sector will not, simply will not, distribute, because the private sector, obviously and naturally, wishes to make a profit; and there are some very unprofitable things, unprofitable documents, pieces of information, which are necessary as part of our cultural heritage but, obviously, would not be made available publicly. Libraries do support these pieces of information, and for that reason it's necessary to look at them in a somewhat different light than just equating libraries and private sector information sources.

A second point that I'd like to refer to is the historical lesson. About 40 years ago, at the end of World War II, this country realized that much of what it had done during the way could have been improved if we had in this country information about other nations, other lands. It simply wasn't there, and it detracted our attempt to win the war, to complete the actions of the war.

As a result of that discussion, there was formed a plan called the Farmington plan in which there was a deliberate attempt, a nationwide attempt, to gather information so that we would have information about the world, any country throughout the world, somewhere in this country for, hopefully, not another world war but to provide us with assistance in guiding this democracy.

The Farmington plan no longer exists. We have some attempt, particularly through things like title II(c) and NEH, an attempt to gather as much information as possible; but these attempts have been eroded throughout the years, recent years, by the lack of funding or decreased funding from the Federal Government.

Finally, I'd like to talk about the level of investment that we're talking about when we refer to libraries.

Libraries are a multibillion-dollar investment on the part of this country. A tiny fraction of what goes into supporting libraries is Federal support. As Mr. Josey stated, local funds primarily support local priorities. Local funds support the libraries and, because they are local, the priorities, the justifications, come from local needs.

Federal support and leadership are needed at increased levels from what we now have, because they stimulate a national capacity to acquire and distribute information to the citizens of the Nation. It's extremely important that we have this capacity, and it's one that we see slipping away. I would strongly urge you and your colleagues to continue your work in identifying ways to stop the erosion.

On behalf of the members of the Association of Research Libraries, I want to express my appreciation for your activities and the support of the committee. I thank you again very much for the opportunity to appear here.

Mr. Ford. Thank you, Susan. We have been convinced that, even though the formalized programs for supporting libraries represent a very small part of the total annual cost of just barely maintaining them, that over particularly the last 20 years we've been able to, with the relatively modest Federal investment, improve the quality and the delivery system of informational material of all kinds, getting into the hands of Americans and into their minds.

The research libraries have had a particularly difficult time. We recognized a number of years ago that research libraries were not like your local friendly library in a small community responding to a rather localized set of concerns, but were a resource that had to be available for scholars and others who were trying to learn more than just the generalities about any specific subject.

You, I'm sure, noted that the House last December passed the Higher Education Reauthorization Act which was cosponsored and supported by all of the Republicans and Democrats on this committee. The Senate has now marked the bill up in their committee. They haven't been to the floor with it. We reauthorized the part C, research libraries, in that bill and had no resistance to it over here at all. And we understand that, at this point, it has survived in the Senate version of the bill in a slightly different form than ours, which we can work out when we get to conference with the Senate later this year.

I hope that you and the other people concerned with the research libraries will pay close attention and give us your advice when we go to conference with the Senate on the best way to resolve those differences.

Mr. Buckley, earlier—I guess it was late last year when we were working on the Higher Education Act, we had an unusual kind of a presentation by a—I guess maybe it was early this year, on the budget presentation by a university president who went so far in expressing his concern for what he referred to as a traditional college educational opportunity, that I was provoked to observe to him that two of the great inventors and developers of my lifetime, although they started a long time before I came along, were Thomas Edison and Henry Ford.

I remember as a little boy hearing Thomas Edison quoted as saying that but for the Detroit Public Library, he would not have had a scientific education of any kind as a basis for the many things that he did. Thomas Edison was not an educated person in the sense of having certificates or degrees or diplomas. When he should have been in high school, he was working as a butcher boy, they called them in those days, on the trains between Ohio cities and Detroit, and made it a habit when the train arrived in Detroit to make for the downtown branch of the Detroit Public Library, check out the books; and that was the source of his education for many years.

It left such an indelible impression that in his very late years he still, whenever the opportunity presented itself, gave full credit to the existence of that public library system which has been, in its day, one of the finest in the country, for the formal portion of his education.

Henry Ford came a little behind him, but looked to him as one of his role models, and was known to have said the same thing about the library.

We did not see in Detroit a substantial improvement in the funding as a result of revenue sharing in the early stages. What has the pattern been more recently?

How much of that has the city shared with you?

Mr. **Buckley**. The city shares a fairly small percentage of its budget with the library. The library is independent of the city administration in Detroit, and the voters of the city, as you will remember, a year or two ago voted an additional millage to help support the library to achieve really adequate library services for the city. But the library continues to receive over $1 million in city contributions, in addition to the funds that come to us through tax revenues, State subsidies for the main library which acts as a State resource library, and other sources of revenue. But the $1,200,000 which we receive from the city is a contribution out of their general revenue fund which includes revenue sharing.

We are not optimistic about maintaining that level of support from them, if their revenue sharing is cut drastically.

Mr. **Ford**. When revenue sharing was passed during the Nixon administration, one of the stated purposes for revenue sharing would be to provide assistance to libraries, and then we found that, as a matter of fact, at the local level the decisions on priorities were made in a different way.

One outstanding example, Mr. Hayes, was that Mayor Daly in Chicago passed on a very substantial part of it, and the Chicago library was treated very generously by revenue sharing. It was the only one I found in the country that did that, and maybe you had to have a powerful mayor like that to be able to get away with it, but you don't hear very many nice things said about the Daly days in Chicago by outsiders. This is one outsider who observed in your city that you had a greater concern for libraries than demonstrated in my own.

I would like to thank you, Mr. Josey, for including in your testimony the portion on page 14 where you talk about revenue forgone. I hope that during this gathering in Washington there is a lot of emphasis put on what that means to the libraries, because when you look at the dollar amounts and look at the dollar amounts that we are able to get through direct appropriations, you will find that it means more to the budgets of libraries, if we lose that, than if we lose the balance of the other appropriations.

It's unfortunate but true that the fourth-class library rate, which is one of several preferred classes which we take care of under the Postal Reorganization Act in an appropriation called revenue forgone, has been changed so that the library rate has gone in a very short time from 47 to 67 cents, and now to—potentially, under the President's budget, to 94 cents.

The effect under the President's budget would be that library rates would double and increase 100 percent in 1 year. I don't hear enough as the chairman of the Post Office and Civil Service Committee, another hat that I wear, in the way of concern being expressed by people in education and libraries about those changes.

The President did sign yesterday, I believe, the reconciliation bill for fiscal year 1986. And even though the President's budget had proposed zero funding for revenue forgone in fiscal year 1986, the Congress ended up appropriating $748 million. That is not enough to meet what the costs will be in fiscal year 1986. So you've already seen on March 9 an increase.

In addition to that, Gramm-Rudman has already taken its first bite of that noney. So we're really talking about $715 million available for the balance of fiscal year 1986, which will leave us with a shortfall. Presumably, the Post Office will be able to pick it up with the rate increase that was put in place on the ninth, but on October 1 Gramm-Rudman bites again.

The second bite is going to be much more severe than the first bite. Then there will be a priorities fight here again. Do we continue to carry the material for the blind? Do we continue to carry in-county newspapers as a preferred rate? Do we continue to carry classroom materials, college and university educational materials? And indeed, the fourth-class library materials, at a preferred rate? Or do we throw them into the pot with the rest of the postal rates which must sustain their total cost?

The Post Office cannot subsidize any class of mail out of the proceeds from any other class of mail. Each class has to carry its own weight, except these five or six specific purposes that we reserved at the time of the creation of that self-sustaining Postal Corporation.

The Post Office does not, contrary to widespread public belief, receive any subsidy from the Federal taxpayer. It has been 5 years since we gave the Post Office the last dollar of direct subsidy. The revenue forgone is frequently mistaken by people as a subsidy to the Post Office. It's anything but.

The revenue forgone is a payment we make to the Post Office in lieu of the amount of money they would have collected from you in the libraries if they collected full attributable costs for handling that material. The Post Office estimates their loss of revenue by handling it at the lower rate, and then Congress appropriates the money to make up that revenue forgone; and it becomes a subsidy to the classes of people involved.

If you feel that the libraries are being treated badly, their last percentage increase is 40 percent, but the blind had their mail increased by 73 percent, and the American Federation for the Blind came to see me, and they cannot believe that Congress intended to hit them as a group this hard.

I hope now that they will use their resources to tell people that indeed we have, and we share the responsibility because the Congress has not been able to overcome the President's budget proposals entirely. For fiscal year 1987, the budget that is now being considered by the House and Senate, the administration once again proposes zero funding.

The Post Office assumes that it would cost about $900 million for revenue forgone. So that issue is very much alive as you are here in town at the moment, because neither the House nor the Senate have yet adopted the budget, and no one believes that they will—either or both of us will have adopted a budget before April 15, a week from today, which is the first deadline under Gramm-Rudman for fiscal year 1987. The question of how much, if any, revenue forgone will be in that budget is very much in front of everybody here now.

So if you have an opportunity to talk to anyone about it, you should let them know that, while other people are looking at the budget to see how many B-1's we can buy, you're also looking at it to see how many books we could mail.

Finally, I want to thank you for your strong support for a White House Conference on Libraries. I had the honor of serving as one of the two congressional Members of the first conference. Maybe that's why they're reluctant to have another one.

The other congressional representative was the Honorable Jacob Javits of New York, recently deceased, who was during his many years here in the Congress a very staunch supporter of libraries and of education. He was a very firm voice in those days.

There are others ready to take his place, if we have another conference. I suspect that there is somebody over there that fears that, if we have a conference and give national attention to concerns about what is and is not going to be available to the American people, that it will intensify public pressure for a change in priority and a greater sensitivity to, if not a consideration for, Federal efforts to support library endeavors of all kind.

So I would thank you. I think we have 65 cosponsors now. I think, with a little effort, you could double that before you leave town. There are 17 Senators who have agreed to cosponsor the bill on that side. The bill was put in by Senator Pell. Senator Pell and I collaborated with the American Library Association in drafting the legislation, and he has 17 cosponsors. So if you're talking to your friendly Senator, you might ask him if they've joined Claiborne on his bill over there.

It would be helpful if we could get up around 200 in the House and maybe 40 or 50 in the Senate, and then they would have to pay attention to it. Then we will negotiate, and we'll be very pleased to be very reasonable.

I could say on the record that one concern over here in the House is how much will it cost. We have reason to believe that it could be done, unlike anything else, in Government expense for about what the last conference cost, if we permit and encourage the use of other resources that we think might be available from private enterprise and foundations and others who would be inclined to support such an endeavor.

So we could almost make a promise that it's a negligible cost. We're talking about maybe $3.5 to $4 million.

In the time it took me to clear my throat, they drop that much in a waste basket in the Pentagon building. So maybe if I did it one less time and they dropped it one less time, we could have the conference.

Gentleman from New York.

Mr. OWENS. Thank you, Mr. Chairman. I would like to thank the members of the panel for their very thorough testimony. I would also like to take this opportunity to acknowledge my long time friend and colleague from New York, Mr. E.J. Josey, and again congratulate him on a very successful and fruitful year as the president of the American Library Association.

I would also like to have you get on the record at this time some more specific examples of what the impact of these cuts are. I note that Mr. Josey did say that you have a booklet which talks about the impact of Federal programs on New York libraries. So without objection, Mr. Chairman, I'd like to have that booklet inserted into the record, and ask Mr. Josey if he could elaborate a little bit on the impact of both A-130 and the elimination of LSCA on libraries in New York State.

Now New York State is an exceptional State in terms of its support for libraries. I think, unless some recent developments have outdated me, that it provides a greater amount of State assistance for libraries than any other State per capita.

It is generally a friendly environment for libraries—New York State. But despite this, in a State where you have tremendous support for libraries, I don't think that the State will be able to make up for what the Federal Government cuts.

I wish you would take a minute, Mr. Josey, to elaborate a little bit on what the impact would be, with a few specific examples.

[The attachment to Mr. Josey's statement follows:]

LESS ACCESS TO LESS INFORMATION BY AND ABOUT THE U.S. GOVERNMENT: V

A 1985 Chronology: January - June

What was first seen as an emerging trend in April 1981 when the American Library Association Washington Office first started this chronology, has by June 1985 become a continuing pattern of the federal government to restrict government publications and information dissemination activities. A policy has emerged which is less than sympathetic to the principles of freedom of access to information as librarians advocate them. A combination of specific policy decisions, the current Administration's interpretations and implementations of the 1980 Paperwork Reduction Act (PL 96-511), implementation of the Grace Commission recommendations and agency budget cuts significantly limit access to public documents and statistics.

The accelerating tendency of federal agencies to use computer and telecommunications technologies for data collection, storage, retrieval and dissemination has major implications for public access. To identify a few: contractual arrangements with commercial firms to disseminate information collected at taxpayer expense, increased user charges for government information, the trend toward having increasing amounts of government information available in electronic format only and eliminating the printed version. While automation clearly offers promises of savings, will public access to government information be further restricted for people who cannot afford computers or cannot pay for computer time?

ALA reaffirmed its long standing conviction that open government is vital to a democracy in a resolution passed by Council in January 1984 which stated that "there should be equal and ready access to data collected, compiled, produced, and published in any format by the government of the United States." In his inaugural speech, ALA President E.J. Josey asserted: "Again, nobody would deny the utility of many of these services provided by the private sector, but [they] are not available to all of the American people; their purpose is to yield a profit, and they are designed only for those who can pay for them. Nor do they have any obligation to provide access to all or any information; only that information which the suppliers deem profitable or potentially so. Only the preservation of public services, publicly supported, can assure that each individual has equal and ready access to information, ..."

At its Midwinter Meeting in January 1985, ALA Council established an Ad Hoc Committee to Form a Coalition on Government Information. The Committee is in the process of organizing a coalition of concerned organizations which could encourage executive and legislative branch policies and activities which assure that information needs of citizens are not restricted.

With access to information a major ALA priority, members should be concerned about the following series of actions which create a climate in which government information activities are suspect. Four previous chronologies on the same topic were compiled in an ALA Washington Office publication "Less Access to Less Information By and About the U.S. Government, A 1981-1984 Chronology: April 1981 - December 1984.:

January 1985	President Reagan issued Executive Order 12498 which could expand greatly the authority of the Office of Management and Budget (OMB) to control government policy-making. The order will allow it to screen other agencies' regulatory proposals before the rules are drafted formally or announced publicly. The Executive Order does

	not apply to independent agencies and also exempts regulations that must face tight judicial or statutory deadlines. (Washington Post, January 5) (See January 4 Federal Register, pp. 1036-1037 for the text of the Executive Order)
January	A 32-page report "Federal Restrictions on the Free Flow of Academic Information and Ideas," prepared by John Shattuck, a vice-president at Harvard University, was reprinted in the January 9 The Chronicle of Higher Education. This report has additional examples of restrictions of access to government information.
February	The 1985 edition of The Car Book rates cars based on crash test performance, fuel economy, preventative maintenance, repair, and insurance costs. Originally published in 1980 by the Department of Transportation, it quickly became the government's most popular publication with 2 million copies requested. But the Reagan Administration discontinued the book. It is now available from its private publisher for $8.95. (Washington Post, February 4)
February	For the fourth year in a row, the Administration's budget proposed to eliminate funding for the Library Services and Construction Act and the Higher Education Act title II library grant programs. The National Commission on Libraries and Information Science was once again at zero. The proposed budget would also eliminate all postal revenue forgone appropriations. If enacted, this would mean that as of October 1, 1985, those eligible for free mail for the blind would have to pay the full cost of this mail; and major increases would take effect in all subsidized rate categories including nonprofit bulk mail, classroom publications, and the fourth class book and library rates. A 2-pound book package sent library rate would be 94¢, a 74 percent increase from the current 54¢. This would be on top of a 15 percent increase February 17, when the 2-pound book package went from 47¢ to 54¢ as part of a general rate hike. Budget documents indicated that at a later date the Administration would propose legislation to permit USPS to increase the rates of full ratepayers so that some subsidy could continue for some but not all current preferred-rate mailers. No details of this proposal were provided. (OMB, Budget of the United States Government, Fiscal Year 1986, Appendix)
February	The Reagan Administration's efforts to stem the flow of unclassified information to the Soviet Union may soon turn to a new area: the government literature made available to the public through the Commerce Department's National Technical Information Service (NTIS). A February memorandum by Commerce Secretary Malcolm Baldrige suggests that "new legislation, new Executive Orders, and coordinated government-wide regulations" may be required to stem what he calls the "hemorrhage" of information through NTIS. Private corporations make extensive use of NTIS materials as did scholarly researchers. Baldrige wants much tighter screening of what goes into NTIS, in essence requiring that documents containing potentially sensitive information be withheld from NTIS even though they are declassified or unclassified. (Science, March 8)

March

The Merit Systems Protection Board announced that it will no longer publish the full text of its decisions in bound volumes, but referred users to private sector sources for MSPB decisions. The March 4 Federal Register notice (pp. 8684-8685) listed several private publishers which offer the MSPB decisions in various formats, not all of which include the complete decisions, at prices ranging from $250 to $498 per year. The bound volumes in the past have been provided at no charge to 472 depository libraries, including 37 federal libraries. In addition, 500 to 1000 copies of the volumes have been sold by the Government Printing Office at a cost of approximately $55 per year. Discontinuation of government publication removes the item from the Depository Library Program, the GPO sales program, and inhibits public access to the decisions. The cost to the government itself for one copy of the MSPB decisions for each of the federal libraries which are currently depository recipients could be over $18,000. (Statement of Francis J. Buckley, Jr. before the House Government Operations Subcommittee on Government Information, Justice and Agriculture, April 29)

March

At a speech at the National Press Club, Attorney General Edwin Meese 3rd rejected the suggestion that the Administration had restricted access to information and said it had instead reduced the amount of information that was classified. "We have far too much classified information in the Federal Government." He pledged an "open administration" in his tenure as Attorney General. "Sometimes there is a temptation in Government to close up sources of information," adding that he would seek "to avoid this temptation" and try instead "to work cooperatively." (New York Times, March 21) [However, the Information Security Oversight Office says classification has increased. See May item.]

March

OMB proposed "a sharp reduction in the Government's efforts to gather and distribute statistics about all aspects of American life." Under the proposal, a draft circular on the management of federal information resources, OMB would have authority over all information-gathering efforts by federal agencies. "The agencies would have to show that the data were essential to their mission, that they were not likely to be gathered by the private sector and that their benefits outweighed the collection costs." (New York Times, March 31) [For the text of the proposed circular see the March 15 Federal Register, pp. 10734-47, with corrections on March 21, p. 11471.]

March

Some omissions from the OMB proposed circular on management of federal information resources are sure to spark controversy. "For instance, while the proposal warns bureaucrats to be wary of the possibility of price-gouging as the result of a contractor's monopoly over a government data base, it doesn't offer specific safeguards....Agencies are not required to grant sole-source contracts to provide data bases to the public, but the SEC (Securities and Exchange Commission) and others have an incentive to do so if in return they get an internal system from the contractor at no cost." (Business Week, March 25)

March	Using its authority under the Paperwork Reduction Act, OMB rejected all or parts of several forms proposed by the Department of Housing and Urban Development and the Veterans Administration to collect racial and ethnic data on beneficiaries of federal programs. The information is collected in an attempt to detect and prevent discrimination. (New York Times, March 25) [In June, OMB reversed its decision to bar HUD and VA from collecting information about the race, sex and ethnic background of applicants for home mortgage insurance. In a May letter, five Republican and seven Democratic senators urged President Reagan to overrule OMB, Washington Post, June 26.]
March	The Consumer Information Center (CIC), part of the General Services Administration, has raised fees for some of its publications, and is now charging for other publications it formerly distributed free of charge. A March 30 Washington Post story about these changes stated: "about 70 percent of the publications listed in the 1981 catalog were free, compared to 50 percent today," and "in 1981, the most expensive publication in the catalog cost $2; today, the top price is $7." As a result, the CIC's distribution of publications over the last four years has plummeted by about 77 percent.
April	The Defense Department told the Society of Photo-Optical Instrumentation Engineers, sponsors of an April technical symposium in Washington, that it must cancel the presentation of about a dozen unclassified research papers because the information might help the enemies of the U.S. In addition, DOD ordered the Society to restrict the audience that attends the presentation of two dozen other technical papers that are also not classified. The Pentagon contended it has the authority to limit distribution of information under the Export Control Act, which bars export of sensitive technology without a license. When speeches and papers are involved, DOD maintains that the presence of foreign scientists in the audience could lead to unauthorized export of information. Leading universities and professional associations have objected to the restrictions, and have been working with the Pentagon to try to resolve the conflict. (New York Times, April 8)
April	According to an April 18 Washington Post article, the Reagan Administration is drafting guidelines to classify all national security-related information throughout the federal government -- including civilian agencies -- as part of an effort to increase computer and telecommunications security. Much of the information now in government computers is not protected and is widely available. A special national security committee will decide how much of that information needs protection and how to protect it. As the federal government relies on computer networks and ordinary telephone conversations to conduct even the most sensitive business, traditional methods of classification for paper files and documents are seen as no longer adequate. The fact that computer and telecommunications technologies can be breached by electronic intercept and entry has prompted the decision to launch a set of security countermeasures in both classification and technology. One result could be that sensitive information now stored in civilian agency computers would fall under a new national security classification.

April	The Department of Energy issued final regulations in the April 22 *Federal Register* (pp. 15818-29) to prohibit the unauthorized dissemination of certain information identified as Unclassified Controlled Nuclear Information. These regulations describe how government information is determined to be UCNI, establish minimum protection standards, specify who may have access to UCNI, and establish procedures for the imposition of penalties for violation of these regulations.
April	"According to a UPI report of April 8, Senator William Proxmire has threatened to try to cut funds for a newly-created White House News Service if it shows signs of expansion into the nation's 'first government operated and controlled news service' or of being replicated in other government agencies." (*Library Hotline*, April 29)
April	OMB is imposing administrative budget cuts on agencies which are forcing reductions in publication programs without adequate consideration of the utility of the information in meeting the agency's mission and in serving the public interest. For example, the Bureau of Labor Statistics is being forced, among other cuts, to reduce the *Monthly Labor Review* to a quarterly publication and to eliminate the following items: *How the Government Measures Unemployment*, *Questions and Answers on Male and Female Earnings*, *A Profile on Black Workers*, *Historical Supplement to Employment and Earnings*, *Family Employment Characteristics Data Book*, *Handbook of Labor Statistics*, and *Productivity and Manufacturing*. (Statement of Francis J. Buckley, Jr. before the House Government Operations Subcommittee on Government Information, Justice and Agriculture, April 29)
April	The former U.S. Court of Claims published its *Cases Decided* through the Government Printing Office. As a result, copies were distributed to 557 depository libraries and about 300 copies were sold by the Superintendent of Documents for about $82 in 1982, the last year they were published. The reports of the U.S. Claims Court are being published commercially for $219 for six volumes to bring the set up to date, plus an estimated $102 per year for future issuances. The new Court Judges and Clerk are provided free copies by the commercial publisher, but the Court purchases copies for its own library as must all other government agencies, libraries, and the public. (Statement of Francis J. Buckley, Jr., before the House Government Operations Subcommittee on Government Information, Justice and Agriculture, April 29)
April	"A decision by the Nuclear Regulatory Commission (NRC) to reduce public access to meetings and reduce the availability of transcripts from closed meetings is causing a stir in Congress. In late April the NRC voted 3-2 to immediately implement these rule changes proposed by chairman Nunzio Palladino, without first holding public hearings on the matter." (*Science*, May 10)

May OMB issued, May 2, Circular No. A-3 (Revised), "Government Publications," which prescribes the policies and procedures for approving funding for government periodicals, and for reporting periodicals and non-recurring publications. This revision institutes an annual review of federal periodicals and establishes guidelines and procedures for a coordinated and uniform method of agency reporting and OMB approval. A new policy section states: "Expenditure of funds shall be approved only for periodicals that provide information, the dissemination of which is necessary in the transaction of the public business required by law of the agencies. The OMB-approved control system shall continue to be implemented and used to monitor periodicals and non-recurring publications. Periodicals and non-recurring publications will be prepared and disseminated in the most cost-effective manner possible." The control system referred to was set up in 1981 through OMB Bulletin 81-16 and supplement No. 1, which "initiated a program to cut waste in Government spending on periodicals, pamphlets, and audiovisual products."

May On May 2, OMB issued OMB Bulletin No. 85-14 providing instructions and materials to the heads of executive departments for the submission of the Annual Report on Government Publications. "In the Annual Report on Publications, due June 30, 1985, agencies shall request approval for all periodicals, both those proposed and those already being published, from the Director of OMB." This bulletin implements Title 44 of the U.S. Code, section 1108, and OMB's revised Circular A-3.

May The Reagan Administration, under a 1982 executive order (E.O. 12356) that spelled out new rules for defining government secrets, has been classifying more documents and declassifying far fewer. According to the annual report of the Information Security Oversight Office, the total number of "classification decisions" in fiscal 1984 was 19,607,736, an increase of 9 percent over the year before. The systematic declassification of old records has flagged under the Reagan order, but proceeded faster in 1984 than in 1983. (Washington Post, May 8)

May Responses were overwhelmingly negative to the OMB proposed circular on Management of Federal Information Resources published in the March 15 Federal Register. While there were a few defenders among the 309 comments filed for public review in the OMB library, most were highly critical of the proposal. Of the comments received as of May 31, 1985, 169 were from the library and university community, 88 from other members of the public, and 52 from federal agencies. Many of the comments contended that the proposed policy would make government information less accessible and more costly.

In a May 14 letter to OMB, ALA stated that the proposed circular, if implemented as written, will systematically deprive the American people of information by and about their government. ALA said the proposal still requires major amplification and revision, and another draft should be issued for public comment. In addition, it should be submitted to Congress for policy review because its provisions reach far beyond mere management considerations. ALA's ten-page response is available by sending a self-addressed mailing label to the ALA Washington Office, 110 Maryland Ave., N.E., Washington, D.C. 20002. (ALA Washington Newsletter, May 29 and June 17)

May

In a May 24 editorial, "Statistical Error," the Washington Post called the OMB proposed circular on the management of federal information resources "an innocuous-sounding proposal that would destroy important and useful government services." The editorial concluded:

> The government and the public need more and better, not less and more expensive, statistical information. The amounts that can be saved by OMB's proposals are nickels and dimes. The things that could be destroyed are gold. We put to the side a thought that has crossed some people's minds: that the administration is trying to suppress statistics and information that could be politically inconvenient. Let's just say that what they're doing is wrongheaded, and should be stopped.

May

Bechtel North American Power Corp. has been awarded a contract to record SEC filings onto microfilm and disseminate them. Starting Oct. 1, Bechtel is to provide an estimated 250,000 microfiche a year to the SEC's public reference rooms. Bechtel is expected to earn between $4 million and $6 million a year from sales of the information, depending on the number of filings. (Washington Post, May 29)

May

The Department of Agriculture announced that time-sensitive information currently available both electronically and in print form from several USDA agencies will be available July 1 from a single electronic source: Martin Marietta Data Systems. Users of the service, which are expected to be organizations that further distribute USDA information, will pay a minimum fee of $150 a month, plus costs of special hardware and software, to access the system. USDA and land-grant universities will pay the usual computer time-share fees, but not a monthly minimum. With the proper equipment, such as high speed modems, farmers and other individuals could also access the new service for a fee. The new service will disseminate daily and weekly market reports from the Agricultural Marketing Service; crop and livestock reports from the Statistical Reporting Service; outlook and situation reports from the Economic Research Service, foreign agricultural situation reports, export sales reports, and foreign trade leads from the Foreign Agricultural Service; news releases from the Office of Information, and other perishable information. (Agricultural Libraries Information Notes, May)

USDA elicited a commitment from Martin Marietta to charge no more than the standard timesharing charges to information vendors purchasing the bulk data on the Martin Marietta system. However, USDA does not plan to exercise control over the fees information vendors charge the public to access the data on the vendor's systems. In addition, USDA hopes that disseminating the data on the Martin Marietta system will eliminate the need to disseminate the data in paper copy.

OMB regards the USDA program as a prototype for electronic dissemination of information, and EPA and several other agencies have expressed an interest in participating in the USDA system. (Government Documents Round Table, ALA, Documents to the People June 1985, p. 59)

June — The June 12 edition of the Bureau of National Affairs Daily Report for Executives has a 7-page article which gives a good summary of the issues relating to the proposed OMB circular on Management of Federal Information Resources (March 15 Federal Register). The article has numerous quotes from the more than 300 comments OMB received about their proposal. (BNA Daily Report for Executives, Regulatory and Legal Analysis, pp. C-1 to C-7)

June — The Department of Education's Publication and Audiovisual Advisory Council barred 17 federally supported education laboratories from issuing 98 of 438 publications related to research contracted for by the department. The move marks the first time that the department has applied a 1981 order intended to curb wasteful federal publishing to projects it has sponsored at the regional laboratories through the National Institute of Education. (Education Week, June 19)

June — In the wake of alleged spying by former and current military personnel, the House of Representatives approved, 333 to 71, an amendment to the Defense Department authorization bill, which would give the Pentagon broad power to subject to lie detector tests more than 4 million military civilian employees with access to classified information and would require polygraphs before granting the highest level clearances. The Senate has already passed a defense authorization bill that provides for a much more limited polygraph program. The two bills will have to be reconciled in a conference committee. (Washington Post, June 27)

LESS ACCESS TO LESS INFORMATION BY AND ABOUT THE U.S. GOVERNMENT: VI

A 1985 Chronology: July - December

The issuance of the Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources, on December 12 is a landmark for those monitoring the continuing pattern of the federal government to restrict government publications and information dissemination activities. This circular will have a significant impact on the extent and quality of federal information which will be available to policy makers and to the public. The public should pay careful attention to the implementation of this circular, and urge Members of Congress to do so. The final circular requires cost-benefit analysis of government information activities, "maximum feasible reliance on the private sector" for the dissemination of government information products and services, and cost recovery through user charges where appropriate. The likely result is an acceleration of the current trend to commercialize and privatize government information.

A policy has emerged which is less than sympathetic to the principles of freedom of access to information as librarians advocate them. A combination of specific policy decisions, the current Administration's interpretations and implementations of the 1980 Paperwork Reduction Act (PL 96-511), implementation of the Grace Commission recommendations and agency budget cuts significantly limit access to public documents and statistics.

The accelerating tendency of federal agencies to use computer and telecommunications technologies for data collection, storage, retrieval and dissemination has major implications for public access. While automation clearly offers promises of savings, will public access to government information be further restricted for people who cannot afford computers or cannot pay for computer time? A few of the factors which will influence the answer to this question are: contractual arrangements with commercial firms to disseminate information collected at taxpayer expense, increased user charges for government information, the trend toward having increasing amounts of government information available in electronic format only and the elimination of the printed version.

ALA reaffirmed its long-standing conviction that open government is vital to a democracy in a resolution passed by Council in January 1984 which stated that "there should be equal and ready access to data collected, compiled, produced, and published in any format by the government of the United States." In January 1985, Council established an Ad Hoc Committee to Form a Coalition on Government Information. The Committee is in the process of organizing a coalition of concerned organizations which could encourage executive and legislative branch policies and activities which assure that information needs of citizens are not restricted.

With access to information a major ALA priority, members should be concerned about the following series of actions which create a climate in which government information activities are suspect. Four previous chronologies on the same topic were compiled in an ALA Washington Office publication "Less Access to Less Information By and About the U.S. Government---A 1981-84 Chronology: April 1981 - December 1984." An update for the period between January - June 1985 continued the chronology; the following covers July - December:

July 1985 At a July 17 hearing of the House Government Operations Subcommittee on Employment and Housing chaired by Rep. Barney Frank (D-MA), Rep. Major R. Owens (D-NY) said: "It appears that OMB has zeroed in on the cost of information while remaining cynically unaware of, or ignoring, its value." Carol Turner of Stanford University testified for ALA and reaffirmed the Association's view that if OMB implemented its draft circular as proposed in the March 15 Federal Register, there would be a drastic reduction in the flow of government information to the public. (The Washington Post, July 18) (Ed. note: The transcript of the hearing, OMB's Proposed Restrictions on Information Gathering and Dissemination by Agencies, is available from the Subcommittee (202/225-6751).)

July Reps. William H. Gray (D-PA) and David R. Obey (D-WI) criticized the Administration's plan to stop issuing the government's annual report on after-tax income. The latest report, June 27, showed the wealthy are getting wealthier and the poor, poorer; households in all but the top 20 percent received a smaller share of after-tax income in 1983 than in 1980. The Congressmen noted that the report indicated the share of after-tax income going to those with incomes of more than $60,000 a year rose to 42 percent, from 40.6 percent in the 1980-1983 period, a shift of nearly $25 billion. In a letter to Commerce Secretary Malcolm Baldrige, they protested the decision to stop issuing the report in order to cut costs. (The New York Times, July 9)

In August, Baldrige wrote Gray that he had "reevaluated the Census Bureau's recommendation and have concluded that we should continue doing the report." (The Washington Post, August 30)

August Attorney General Edwin Meese III and Assistant Attorney General for Civil Rights William Bradford Reynolds are leading an effort to revise Executive Order 11246, the 20-year-old directive mandating equal employment efforts on the part of federal contractors. Business organizations joined civil rights activists and Members of Congress in challenging a draft executive order which would abolish rules requiring some government contractors to meet numerical goals in hiring minorities and women. Sen. Howard M. Metzenbaum (D-OH) said: "When you make an effort to determine whether there's been discrimination, you have to use whatever evidence is available. Doing away with the ability to use statistical data is tantamount to making it almost impossible to make a case." (The Washington Post, August 15 and 18)

August The Public Health Service's National Center for Health Statistics has been keeping track of the births, illnesses, disabilities and deaths of Americans---and a host of other health facts---for 25 years. Critics have voiced concern that Reagan Administration budget cuts may have undermined some of the center's record-keeping ability, particularly the frequency of surveys. The Center's Director, Dr. Manning Feinleib, acknowledged that "government-wide constraints on budget and positions have resulted in changes in the original periodicity" of some surveys. (The Washington Post, August 23)

August To save storage and mailing expenses, Department of Agriculture officials are junking thousands of copies of county soil profiles that cost the government large amounts of money to produce and publish. One clerk estimated that 40,000 surveys, some as thick as telephone books, will be dumped. County soil surveys and maps are vital tools to farmers, developers, land appraisers, home builders, engineers and recreation planners in determining what can be done on which soils. Over the years, the Department has compiled surveys for 1,008 counties. The survey trashing was ordered by the Soil Conservation Service, which oversees the compilation and distribution of the documents. The division decided that it would be the most cost-effective way of solving a budget problem, and would save $67,000 a year by giving up storage for which it is charged "rent" by the General Services Administration. It was estimated that it would cost $57,000 to send the surveys to the respective states. However, some copies will be available to the public in state capitals. (Washington Post, August 28)

September The September AGNET Newsletter (University of Nebraska-Lincoln) informed readers that AGNET, an electronic system, would carry a reduced number of U.S. Department of Agriculture reports in the future. "The reason for this is USDA's new EDI (Electronic Dissemination of Information) system developed and run by Martin Marietta Data Systems (MMDS). Even if current technical problems can be worked out, the cost structure will not allow us to recover our expenses of retrieving most reports. MMDS is charging five cents/line to view the menu of available reports, and two cents/line for transmitting the reports---including blank lines. The line charges are in addition to long distance and connect charges....Since Central AGNET is a self-funded operation (not tax supported), we cannot subsidize projects or absorb costs we are unable to recover." The newsletter pointed out to their clients that the option exists to contract directly with MMDS, but advised that there is a $150/month minimum fee. (See February 1984 "Less Access..." entry)

September In a September 17 letter to Defense Secretary Caspar W. Weinberger, the presidents of 17 American scientific and engineering societies accused the Defense Department of creating a new system of classification on research and declared that their organizations will no longer sponsor restricted sessions at their meetings. The effect of the presidents' actions would be to shut out from their society meetings the papers of any defense-funded scientists working in "sensitive" but nevertheless unclassified areas. The letter said, in effect, that if the Pentagon wants certain subjects restricted, it should take them out of open meetings or set up classified meetings. (The Washington Post, September 21)

September The Department of Education reversed controversial decisions made last spring by its Publications and Audiovisual Advisory Council

(PAVAC) to bar publication of some education-research materials. The action by Under-Secretary of Education Gary L. Bauer will allow researchers at several federally sponsored education-research laboratories to publish materials that they had agreed to produce as part of their contracts with the agency. The researchers had been asked to halt the publication of some materials by PAVAC to cut the agency's printing costs. Some education researchers charged that the panel had over-reached its mandate to trim spending and had tried to censor the publication of certain types of research. Bauer said, however, that he had found no evidence of censorship. (The Chronicle of Higher Education, September 25)

November In an essay in the November Harper's, "Liberty Under Siege," Walter Karp uses a chronological format to document what he considers "...an unflagging campaign to exalt the power of the presidency and to undermine the power of the law, the courts, the Congress, and the people." His chronicle is not a secret history, but a record of events which have been reported in daily newspapers. Karp warns: "When a concerted assault on the habits of freedom ceases to shock us, there will be no further need to assault them, for they will have been uprooted once and for all."

November "A dozen annual reports recently were placed on the hit list of the White House budget office---and five of them come out of ED. The reasons cited by the budget office for refusing to fund publication of the reports: The annual report of the Centers on Education Media and Materials for the Handicapped contained no useful information not reported elsewhere; the annual report of the National Advisory Council on Continuing Education duplicates other reports, the biennial report of the Office of Education Professional Development was moot because the office was abolished in 1981; and two reports on the allocation of ED employe time by work-years contained information already provided in annual budget requests." (The American School Board Journal, November)

November Then Assistant Education Secretary Anne Graham was criticized at a November 13 hearing of the House Government Operations Subcommittee on Intergovernmental Relations and Human Resources for her role as chairman of an in-house advisory group that reviewed federal education research projects and blocked many from being published. In her testimony Graham said that the advisory group was established in response to OMB's Bulletin No. 81-16 which provided procedures and guidelines to implement the President's April 1981 moratorium on the publication and creation of periodicals, pamphlets and audiovisual products until systems were established and approved by OMB. (See April 1981 entries in "Less Access to Less Information By and About the U.S. Government.") In a November 15 article in the Washington Post, Rep. Ted Weiss (D-NY), who chaired the hearing, said: "The hearings confirmed that there is no legal role for PAVAC in educational research or program development." He added that "PAVAC's real impact is restricting the free flow of information necessary to improve education in our country." (Ed. note: PAVAC, the Publication and

Audiovisual Advisory Council, has been restructured and is now called the Publications Review Board.)

November A U.S. District Court judge ruled that federal agencies must tell the public the topics of regulations that are under consideration and how long the agencies have been considering them. The ruling said that disclosure of such "limited information" under the Freedom of Information Act would "at most" allow the public "to ascribe responsibility for delay to a particular agency." Though the ruling---that "regulatory logs" are public information---seems on the surface to be a technicality, the Public Citizen Health Research Group which brought the suit against the Department of Health and Human Services contends it could have important consequences if widely applied in practice. President Reagan gave OMB authority early in his presidency to review all significant government regulations, and critics have long charged that the Administration uses the OMB to stall and eventually kill regulations without public scrutiny. Robert Bedell, an OMB deputy administrator, said that OMB tells the heads of virtually all agencies whether their proposed regulations are consistent with the Administration's principles. The Public Citizen Health Research Group has been lobbying the Food and Drug Administration since 1982 to require a label warning parents not to give aspirin to children with flu or chicken pox. (The Washington Post, November 28)

December ALA joined the American Council of the Blind, the Blinded Veterans Association, and Playboy Enterprises, Inc., in filing a complaint against the Librarian of Congress who followed the intent of Congress to deny FY 1986 funds for the braille edition of Playboy under LC's books for the blind and physically handicapped program. The suit was filed Dec. 4 in U.S. District Court for the District of Columbia, and announced at a Dec. 4 press conference at which Reps. Vic Fazio (D-CA) and Jerry Lewis (R-CA) said they would submit an Amicus Curiae brief in support of the suit.

ALA President Beverly Lynch, speaking at the press conference, said the congressional amendment which caused the LC action restricts and suppresses access of the blind to viewpoints, ideas and information expressed in a single, lawful magazine, otherwise available to sighted readers, solely because the government deems those ideas to be dangerous, bad, immoral or otherwise undesirable. The suit requests a judgment either declaring that the Wylie amendment does not prohibit LC from producing Playboy in braille or ruling the intent of the amendment to be unconstitutional.

The issue arose on July 18 when the House accepted an amendment to HR 2942, the FY '86 Legislative Branch Appropriations Bill, offered by Rep. Chalmers Wylie (R-OH) to reduce the Library of Congress budget by $103,000. The text of the amendment did not indicate the purpose of the amendment, but Rep. Wylie's remarks made clear its intent was to prohibit LC from reproducing and distributing Playboy in braille. The vote and remarks appear on pp. H5932-35 of the July 18 Congressional Record (daily edition). The Senate did not restore the funds. HR 2942 was later given final congressional approval and signed into law (PL 99-151) November 13. (News Release: American Library Association, November 1985)

December A group of 15 independent documentary film makers and production companies filed suit on Dec. 5 in the Los Angeles Federal District Court, charging that the federal government had severely limited the distribution of their films abroad because of differences in political ideology. The film makers charged that regulations issued by the United States Information Agency were being used "as a political censorship tool to hinder distribution" of their films. The film makers asked a federal judge to order that six films be given the certification they say is necessary to make foreign distribution realistically possible. The subjects of the films include childhood in America, uranium mining, nuclear war and Nicaragua. The film makers say that unless USIA issues a certificate stating that a film is educational, scientific or cultural in nature, the films are subject to high import taxes from the foreign countries and voluminous paper work that makes distribution to schools and libraries abroad virtually impossible. (The New York Times, December 8)

December The Office of Personnel Management (OPM), in a move prompted by the prosecution of former Navy intelligence analyst Samuel Loring Morison, asked the military services for nominations to "Security Hearing Boards" that could lead to the summary removal of civilian employees "in the interests of national security." OPM said that the plan had been shelved, at least for the moment, in light of Morison's post-conviction resignation from the government. But at the Defense Department, officials said they were still mulling the OPM request. An OPM spokesman, said that the "presidential instructions" cited in a Dec. 2 letter from OPM Director Constance Horner to the secretaries of the Navy, Army and Air Force were issued by President Dwight D. Eisenhower in a 1953 executive order that laid the basis for the Federal Loyalty-Security Program of the 1950s. (The Washington Post, December 14)

December After it was revealed in the news media on Dec. 11, the White House announced that President Reagan signed a secret directive requiring thousands of Administration officials and perhaps some Cabinet members, to submit to polygraph tests as part of a counter-espionage crackdown throughout the government. The President signed National Security Decision Directive 196 on November 1. It applies to officials with access to "sensitive compartmental information" (SCI); more than 182,000 federal employees and contractor personnel would be subject to the tests. (The Washington Post, articles on Dec. 12, 20, 21 and 25)

NSDD 196 is classified, thus it is not known if it contains a prepublication review system for speeches and writings of current and former government employees. However, such a system is already in effect. According to a June 1984 General Accounting Office report, every employee with access to SCI is being required to sign a lifelong prepublication censorship agreement, Form 4193. (See "Less Access..." item, June 1984)

December Despite congressional and public pressure for an opportunity for further review of the final draft, OMB issued its policy directive, OMB Circular A-130, Management of Federal Information Resources, on Dec. 12. The text was published in the Dec. 24 Federal Register, pp. 52730-51, with corrections in the Jan. 6 FR, p. 461. A provision that agencies must arrange to make government publications available to federal depository libraries was added to the final version in response to public criticism of the controversial first draft published in the March 15 FR.

The basic considerations and assumptions have been amended and broadened to reflect criticism that these statements in the March draft were too narrowly conceived. However, the final circular requires cost-benefit analysis of government information activities, "maximum feasible reliance on the private sector" for the dissemination of government information products and services, and cost recovery through user charges where appropriate.

December While trying to help a friend find a government job, a Washington-area man found that locating the phone numbers to find the jobs is difficult. He found that most government agency employment hot lines are unlisted, but uncovered about 70 of those unlisted numbers. To make the task easier for the public---and money on the side---Ed Streeky has published his own phone listings The Book: A Directory of Federal Job Information Phone Numbers Plus Unlisted Numbers for Dial-a-Vacancy 24-hour-hotlines. It retails for $6.95 in Washington bookstores. ("Finding Federal Job Hot Lines Can Be Harder Than Finding Jobs." (The Washington Post, December 28)

December In an article in the Dec. 20 Publisher's Weekly, "New Dangers to Press Freedom," Martin Garbus said that the conviction of Samuel Morison in a Baltimore Federal Court on Oct. 17, 1985, creates a serious danger to publishers. "The case has received little attention from the publishing community, but it should; for the prosecution is part of a larger Reagan administrative strategy to cut down on leaks and their appearance in books, newspaper articles and television reports."

December In a Dec. 23 editorial, The Washington Post said that damage may be done by the OMB circular issued with the "sleep-inducing title 'Management of Federal Information Resources.'" It observed that "the proposal would likely reduce the number of printed government publications available in libraries or at low cost and increase the already widespread practice of private outfits interfacing with government computers and providing printouts for users at hefty fees." The editorial concluded: "It is saving pennies and squandering dollars for the government, in the name of cost-cutting, paperwork-reduction, and privatization, to starve the statistical agencies and choke off the flow of federal statistics from the government agencies to the people. Rep. Glenn English (D-OK) spoke out last spring against the earlier draft version of this circular, and OMB made some improvements. But there's still plenty for Mr. English and others in Congress to complain---and do something---about." ("Privatizing the Numbers," The Washington Post, December 23)

December	Herbert I. Schiller urged "a national debate about the character, objectives and direction of the information society" in an article in the Dec. 28 The Nation titled, "Information---A Shrinking Resource." He believes that the national information supply is an endangered resource, particularly threatened by the privatization and commercialization of government information.

December	The Treasury Department has been releasing its daily cash balance to a California computer service a day before it is released to the general public. The 150 subscribers to the $1200-a-year service include a handful of the 36 primary bond dealers. After Dow Jones and Co. news wires carried a report about the 18½-hour gap, the Treasury announced it will formally release the cash balance data at 4 p.m. to anyone who wants it starting Dec. 30. One money market economist, who had not been aware of the commercial computer service, said of the two-tiered release: "No one is supposed to get a proprietary advantage where sensitive government information is concerned." A government bond dealer added: "Why does Treasury have to go through a private vendor to release public information?" Treasury officials indicated the early release was established without full consideration of its effect on financial markets. (Wall Street Journal, December 30)

Mr. **Josey**. Thank you Mr. Owens. Congressman Owens, it is true that the State of New York provides the largest amount of support for public libraries from State funds of any other State in the Nation; but in spite of that, one of our library directors reminded us that all new programs in public libraries that were initiated in New York were initiated as a result of Federal funds.

Now the reason for that is the large amount of State money goes for basic support of library services. And, of course, when we started a new program, such as networking among all types of libraries, we depended very heavily upon title III of LSCA's funds. This has been very, very helpful to the State of New York.

Well, let us now look at the educationally disadvantaged. What would happen to them if we would lose LSCA funds? In New York State, more than 3 million of our people are considered to be educationally disadvantaged, and 5.6 million age 17 or over lack a high school diploma.

English is not a first language for many of our people, and in New York City alone 1.8 million speak 1 of 25 major languages from Arabic to Yiddish. With LSCA funds we have been able to mount library bilingual programs to serve these people throughout the State.

Of course, our large illiteracy rate, about 1.8 million—our libraries, as a result of LSCA, have been able to train literacy volunteers and provide materials as well as meeting places; if LSCA is eliminated, we will be at a loss, because we could not make up this money fron State funds.

You'll find in our brochure that we cite that more than 13 percent of our State population lives below the poverty level. These people receive basic survival information, referral services and information useful to them to get and hold jobs. We have been able to mount about 65 job education centers, offering our citizens educational and vocational counseling as a result of LSCA funds.

So we plead with you to do all you can to keep LSCA alive. In Queens, NY, we have established one of the most innovative libraries that we call—a library that is called community controlled, Langston Hughes Library. This library is located in a—well, it's located in an area of Queens that is devastated economically, and yet this institution is a beacon of light to the people who look to the library for more than just basic library services. They go there for training. Senior citizens go there for a wide variety of programs. This particular program is funded out of LSCA.

So once again, we urge you to keep LSCA alive.

Mr. **Owens**. Thank you, Mr. Josey.

Mr. Buckley, the administration argues that, although it is eliminating thousands of publications, they were all useless publications not being utilized at all or being utilized very infrequently, and nobody misses them. Can you give us some examples of items that are really very valuable and important that have been eliminated?

Mr. **Buckley**. Well, I don't mean to be too flip, but last year Mr. Meece was—participated in a media event talking about what he was doing as part of the administration in terms of cutting back Government publications, and he illustrated some of the publications that he considered to be ephemeral and unnecessary, and was critical of things about how to get rid of bedbugs and other pamphlets, which may not seem very important if you don't have bedbugs; but if you do, that is a serious problem.

Very often Government publications of sometimes ephemeral nature, seemingly ephemeral nature, are well oriented and well designed to present Government information, Government expertise, that is necessary for public—for the public who have problems or informational needs.

There are many more serious areas of information deprivation or reduction. There are cutbacks in annual reports issued by the Department of the Treasury and the Department of Housing and Urban Development. When Government departments are no longer publishing an annual report, a summary of their activities, for the public to be aware of what has happened and been accomplished by that agency in that year, I think that's a deprivation of public information.

A number of agencies have cut out statistical reports and other kinds of analyses. The Bureau of Labor Statistics is ceasing to collect as much consumer price information. They're no longer publishing that for cities around the country.

There are no longer directories of community mental health institutions available. There are no longer statistics of maritime trade being published as much as they were.

We could provide a list, just as the Government could, of thousands of publications that have been eliminated. Part of the concern of libraries is that, from the perspective of the bureaucrats who are having to make dollar oriented cuts in the numbers of publications they produce, they are not as attuned to the way those publications are used, to the public use of that information, that is occurring in libraries throughout the country by citizens.

Mr. OWENS. Thank you. I don't have a question, Ms. Martin, but I would like to note that the historical lesson that you said we learned, we didn't learn. When I became a Congressman and went to Harvard for a week to learn how to be a Congressman before the session started, we had expert after expert come in, on the Middle East, on the Far East, on Central and South America, to give us lectures about the historical lessons we should have learned and the fact that our policies have been so badly done in the past due to lack of information, that we just didn't know enough about the cultures and the literature and the ongoing occurring activities in those countries.

They still cited this as a problem 3 years ago. And even—regardless of how you feel about the invasion of Grenada—at the time that Grenada was invaded the only maps that were available were tourist maps supplied by BWIA which shows that the historical lesson was not learned, and that information is still a basic problem.

Thank you, Mr. Chairman. I have no further questions.

Mr. FORD. Thank you. One question I'd like to ask to followup on Mr. Owens'. What kind of a process, if any, has been used, if you're aware of it, in determining underutilization of publications?

Mr. BUCKLEY. Well, I can't speak to that. I know that individual agencies are frequently mandated to cut either a percentage of their publication budget or a number of publications—a percentage of their total publications by OMB, and OMB has recently started this year under a new Circular A-3 an annual review of all Government publications.

Agencies have to get authorization before they publish. Previously, OMB did have an annual cycle of authorization of Government periodicals, but now they've expanded that.

How they determine utilization and public benefit for the production of their publications is something that I think would be a very complex process for them to undertake in a complete way. Very often, they can determine some degree of public interest by how many copies are requested by the public of publications of that nature, how many copies are requested by depository libraries who anticipate an interest in a topic or in a publication, and through some of the trackage done through the sales programs as to how much general public interest there is for something. But there's no exact science, and we often see in libraries people who come in and ask us for a Government document that may seem very obscure, that may be dated historically but have come to the attention of people who now are interested in solar energy that goes through cycles of interest, or other topics.

So we see ourselves as a repository of this continuum of Government information, to make it available when it is needed. But even we cannot always determine how much demand there will be for an item.

Personally, I can speak to an experience I had a number of years ago when I was the Government documents librarian at the Detroit Public Library. In a shipment of documents I received something that I thought was so esoteric that, in my personal experience, I thought this would be very little use. It was a booklet published with glossy pictures in color of samples of brain tissue of white albino mice.

I thought this was so esoteric that I couldn't anticipate any use for it. I went to our technology and science department to show them this new item which had come in that had these sectional analyses of brain cells. They said, oh, this is wonderful. They would put it at the desk for special reference use by all the biology students who could use it.

I had not thought of that purpose. But—so I think that there is a broader use often than is anticipated by any one individual for Government publications.

Mr. FORD. One other question. You said in your earlier statement that the Merit Systems Protection Board had announced they were going to discontinue the printing of their decisions. Have they, in fact, done that?

Mr. BUCKLEY. No. No. They did revise their decision because of public comment, and now issue them in microfiche through the Government Printing Office. So there are copies still available to depository libraries through that——

Mr. FORD. But the reason given was that they are available through private enterprise?

Mr. BUCKLEY. They figured, because they were available through private sector sources, that this was a cost-saving mechanism for them. They would just simply cease their publication of their decisions.

I might point out that, among the depository libraries that were receiving copies of the decisions, were 37 Federal libraries. Those libraries would have also had to buy copies of the decisions, and it would have cost them or cost the Government nearly $18,000 a year to obtain something that they were getting free.

So it was a shortsighted decision. I'm afraid that I think that some of this policy emphasis is not going to be balanced adequately by concerns for public access to the information.

Mr. **FORD**. It seems to me that the lobbyists for Prentiss-Hall and Commerce Clearinghouse ought to suggest that the Treasury adopt that policy, so everybody could buy their looseleaf service. As a lawyer I used to buy it; I know that it's not cheap.

Mr. **BUCKLEY**. Yes. One thing, though, that is also illustrative in that example, part of the rhetoric and discussion about these issues is that the Government should not be competing with the private sector in the provision of its information products.

I would like to point out that, despite the fact that the Merit Protection Board decisions were available in the depository libraries through free dissemination and in the Government Printing Office sales program, they were being made available by five private sector publishers plus several people who—several firms that made their decisions available in an online environment.

That did not discourage any of those vendors from—the Government dissemination had not discouraged any of those private sector vendors from making that information available. It generally was incorporated into larger systems of information—incorporated with other Government information and better indexing and so forth. So it served a complementary purpose to further access to that Government information; but there was still the availability of the basic information made available to libraries, to purchasers, through the Government Printing Office.

Mr. **FORD**. But the competing sources in the private sector are usually aimed at a customer base of professionals who are using something on a regular basis, updating, cross-referencing, annotating?

Mr. **BUCKLEY**. Yes.

Mr. **FORD**. So they really aren't just duplicating the Government document and selling it. They're selling something else, and that's the reason that they become much more expensive.

I think most lawyers and accountants around the country would be somewhat surprised if you suggested to them that every citizen who wanted to see the Federal statutes or regulations on taxes or anything else should have to obtain access to the same kind of materials that they purchase for their profession.

Mr. **BUCKLEY**. Yes.

Mr. **FORD**. Thank you very much.

Mr. Gunderson.

Mr. **GUNDERSON**. Thank you, Mr. Chairman. I need to run off to another meeting, but I wanted to wait to share a couple of thoughts with all of you, that I hope might be helpful; because I get a little bit worried sitting here this morning listening to everything that goes on. And when friends talk to friends, it is sort of like the preacher talking to the choir, and we all feel good about everything when we leave the room. We do not realize when we leave the church, we are going out there into this other world and reality, so to speak.

I think as we talk about the budget challenges that face us, we need to all recognize that in this room. I want to say some things as a friend of libraries, who have used them frequently not only to get through college, to read periodical after periodical.

I must tell you that during college, I even met more than one female companion at the library. So I do not know if that is good or bad. I am still single. So if I blame libraries for that, I won't take it out on you. I need to suggest that, as I listen to these testimonies, I am troubled.

Troubled, because, survey after survey after survey says deficit reduction is the top priority of the American people. Every constituency we have comes before us and says, deficit reduction, yes; us, no. You people are the experts. I will be honest with you. I am not an expert on libraries, and do not come close to being an expert on how to run a library.

You need to tell us where, in the Federal assistance to libraries, there are low priorities, and where cost savings can occur. You cannot come to us and just say that, well, do not cut this and do not cut this and don't cut this. You might be right on all occasions, you know.

OMB knows as much about libraries as I do. So they most likely made a mistake. Where can we make some savings? I have to tell you, the Library of Congress is becoming the talk of Capitol Hill. What they have done is played "we will get even with you" to Congress for Gramm-Rudman-Hollings. Every time my office calls Congressional Research Service, before they get the request they have to endure a long sermon from the person on the other end, saying, well, we cannot get you that for a long time because Congress imposed on us a 4.3-percent cut. You would swear we closed down 80 percent of their Congressional Research Service.

This goes on time after time. Or they reduce the hours the public has to various reading rooms. You and I both understand that strategy. It is a game that is being played. If they have decided that is their lowest priority, they ought to have the courage to tell the public what is the lowest priority in the whole library. But they do not do that.

We need you to share with us where are those necessary areas that perhaps can be forgone for a year. One of the questions I have asked library personnel in my district is: Could you forgo 1 year of Federal dollars in mortar and concrete for the building of libraries, rather than in the services? Now does that make sense? Doesn't it make sense? I would like to get some kind of input in that regard.

Second, the issue of OMB Circular A-130, I do not know which publications you need and you do not need, but I have to tell you, I do not think there are very many Americans who do not think the Government produces more than they need to and some that are not very important.

I do a lot of work on the House Agriculture Committee, and I have to tell you, I do not know of a farm constituency that uses the Government market reports. I do not know of a constituency that does. They always go to the local markets, wherever they are, the equity livestocks, whatever they are, for those market reports.

I really do not think that agriculture will suffer because we eliminate the Federal market report. It might suffer for other reasons. But, again, you know, be realistic.

As a youngster, I remember going to the county fair and our Congressman at that time, which I hate to admit was a Republican, deluged year after year those tables with all of these pamphlets from the Government, and he stamped his name on, "brought to you by your Congressman." I know what happened. My mom was as guilty as everybody else. She always picked each one of them up and put them in her shopping bag and we all know what happened to them after that.

You need to tell us which ones are essential. We will work with you in that regard.

Third, from a local perspective, one thing I ask local librarians to help me with—I was speaking to a State library group in Wisconsin on Friday morning, and you know, I live in a small town of 1,500 people. Within one block, a block away, we have the city library and we have the high school library.

The high school library is open from 8 to 3:30 Monday through Friday, 9 months a year, closed weekends, evenings and all summer long. Then we have the city library one block away that has its own hours. Why can't our goal be providing the best information possible with access for all the people in the community. Why can't those libraries be combined, within one block. I do not understand why that cannot happen, why we have to lock up that circle of knowledge in that high school library all summer long, every weekend and night of the year. And why in the same hand, if you do not happen to live in the city, you don't have access to the city library unless you want to go and pay a special fee. Why can't we have those kind of partnerships?

You are the experts. We need your help, we need your assistance in these kind of efforts, because deficit reduction, like it or not, is here. We want to make sure that we do not eliminate the wrong programs in the process, and only you can make sure that that doesn't happen.

I just share those thoughts with you. Hope that, whether you agree with them today or not, that in the future sometime they might be helpful.

Thank you, Mr. Chairman.

Mr. FORD. Thank you very much. I want to thank the panel for your preparation for today and your contribution to this record. I'm sure that it will be helpful.

Dr. William Asp, director of the department of education, St. Paul, MN, and Barbara Cooper, chair of the task force, the White House Conference, Ft. Lauderdale, FL.

[Prepared statement of William G. Asp follows:]

Statement of
William G. Asp
before the
Postsecondary Education Subcommittee
House Committee on Education and Labor
April 8, 1986

My name is William Asp. I am Director of the Office of Library Development and Services in the Minnesota Department of Education, the state library agency in Minnesota. In addition, I recently served the National Commission on Libraries and Information Science as Chair of the White House Conference on Library and Information Services Preliminary Design Group. I submit the report of the Preliminary Design Group, entitled "Toward the 1989 White House Conference on Library and Information Services," as part of my testimony.

Library Services and Construction Act Appropriations

While the purpose of my testimony today is to express support for House Joint Resolution 244 calling for a 1989 White House Conference on Library and Information Services, as a state librarian I also feel compelled to voice concern regarding funding for the Library Services and Construction Act, LSCA.

For the fifth year in a row, the President has proposed elimination of funds for LSCA. In addition, the President proposes rescission of all Fiscal Year 1986 funds for public library construction and for library literacy programs. The appropriations for the other funded titles of LSCA already have been reduced by 4.3% under provisions of the Gramm-Rudman-Hollings Act.

LSCA has been central to library development in Minnesota and in the other forty-nine states. Thanks to the leadership of members of this Subcommittee, LSCA was extended and amended in October, 1984, recognizing the need to continue and to strengthen the program. You and your colleagues have succeeded in continuing appropriations for LSCA. If Congress adopts the President's recommendations, Minnesota will lose nearly $400,000 in public library construction funds this year, and almost $2,000,000 in Fiscal Year 1987 for public library services, public library construction, and multitype library cooperation. The inevitable result would be a sharp decline in the quality and availability of public library services for 4,000,000 Minnesotans. The state, facing a revenue shortfall of more than $380,000,000 and plagued by the farm crisis and high unemployment in the mining industry, has been forced to reduce state appropriations for many programs including libraries, and simply does not have the capacity to replace lost LSCA funds with state funds.

LSCA funds continue to be needed in Minnesota and in other states to ensure at least a minimum level of public library service for all, and to serve as a catalyst for library resource sharing, improved facilities, and strengthening of services. LSCA funds in Minnesota support operation of bookmobiles, bringing information to thousands and thousands of people in small towns and at country crossroads. LSCA funds support books-by-mail programs, bringing library materials to the mailboxes of homebound persons and persons in isolated rural areas. More than 8,000 blind and physically handicapped persons and more than 7,000 institutionalized persons benefit from improved library services thanks to LSCA funds. LSCA funds support interlibrary loan programs, which the editor of the Worthington, Minnesota, Globe recently described as turning his local library into the Library of Congress because of his ability to borrow materials from other libraries in the state, the region and the nation. Without LSCA, these and other library programs would be reduced or eliminated.

There is a continuing need for federal assistance in the development of adequate library and information services for all. While much has been accomplished under LSCA, much remains to be done. I urge you to reject the President's proposed rescissions of LSCA funds for Fiscal Year 1986, and to fund the Library Services and Construction Act for Fiscal Year 1987.

A 1989 White House Conference

House Joint Resolution 244 calls for a 1989 White House Conference on Library and Information Services and states that: "The purpose of the White House Conference on Library and Information Services shall be to develop recommendations for the further improvement of the library and information services of the nation and their use by the public in accordance with the findings set forth in the preamble to this joint resolution." In introducing the joint resolution, Congressman Ford has called for grass roots involvement by the American public including library users, civic leaders, lawmakers, librarians and others in identifying unmet library service needs, examining library and information service issues, and developing recommendations for future library and information services.

To begin conference planning, Elinor Hashim, Chair of the National Commission on Libraries and Information Science (NCLIS), appointed the

White House Conference on Library and Information Services Preliminary Design Group. Composed of members from the local, state and federal levels, the Design group members represented the Chief Officers of State Library Agencies (COSLA), the White House Conference on Library and Information Services Task Force (WHCLIST) and NCLIS. The Preliminary Design Group's report was endorsed unanimously by NCLIS at its meeting on December 2, 1985.

The Preliminary Design Group report is based on provisions of House Joint Resolution 244. Suggestions are made, for example, for the kinds of appointments to be made to the White House Conference Advisory Committee by the President, the Speaker of the House of Representatives, the President pro tempore of the Senate, and the Chairman of NCLIS. A planning structure is proposed to elicit the participation of other federal agencies and specialists in the library and information professions and related fields. A planning timetable is included, listing tasks to be accomplished up to and after the White House Conference.

The pending legislation and the Preliminary Design Group report approach the conference as a process involving persons from every state, territory and Indian Nation in discussion of issues relating to library and information services at local, state, regional and federal levels. The process can be viewed as a continuum with local activities building up to state or regional activities which lead to the national conference. After the national conference, the results should be reported back for possible action to regional, state and local participants. The entire process should result in the identification of user needs which will serve as the basis for realistic planning for library and information services as the twenty-first century approaches.

The Preliminary Design Group recommends that the pending legislation which calls for state conferences be amended or clarified to provide for appropriate substate and multi-state activities. Considerable flexibility is recommended for agencies planning local, state and regional participation in the pre-White House Conference activities. The opportunity should exist for states to cooperate with each other in holding joint or regional activities. The White House Conference process must be viewed as a reflection of the federal system in which major decisions are made at all levels of government and in which intergovernmental cooperation is essential.

White House Conference Themes

Three overarching themes are proposed for the White House Conference: library and information services for productivity, library and information services for literacy, and library and information services for democracy. These themes would be the focus of the national conference, and would be discussed, along with other local and state issues, in pre-White House Conference activities.

Increased productivity is seen as essential to the economic vitality of the nation, our advantage in world markets and the employment of our people. Libraries are information agencies in this information society. They are essential to the economic well being of our nation. Research and development depends upon access to information. Libraries are needed by industries, business and government as they deal with the need to increase productivity and adapt to new technology. Libraries also offer an historic avenue for individual advancement, tools for people to improve their knowledge and skills and means for increased social and economic mobility for poor and disadvantaged persons.

The White House Conference will need to consider how libraries can provide business and industry, and especially small businesses, improved access to information; how libraries can help American business acquire a larger share of the international market; how libraries can inform industries, economists, business consultants and others about the resources and services available from libraries; how libraries can insure access to new information technology; how libraries can make information resources more available through networks that link public, academic, school and corporate libraries; and how access to information can develop a more efficient and productive workforce. Recommendations are needed on these and other issues.

Illiteracy in America is a national crisis. It is estimated that 27 million persons, or one-fifth of the adult population, are unable to read beyond a fifth grade level. Many of these people are unable to fill out a job application, write a check, address an envelope or read a safety notice or a warning sign. There is a high correlation between illiteracy and poverty, between illiteracy and unemployment, and between illiteracy and crime.

The 1984 U.S. Department of Education Report Alliance for Excellence calls on "libraries to become active in adult literacy education programs at local, state and national levels." Libraries are acquiring special materials for adult learners, and are helping potential students and volunteers get involved in local literacy programs. The White House Conference will need to consider how libraries can more effectively support formal education for literacy; how libraries can assist greater numbers of self-learners and their volunteer tutors; how libraries can help persons needing to learn the English language; how libraries can use new technologies to serve learners; how libraries can best work with other agencies and the private sector to improve services; and how libraries can support lifelong learning for people of all ages, conditions and abilities. These and other issues must be addressed.

Information is a crucial resource in a democracy. Libraries play a vital role in a democratic society that depends upon the informed participation of its people. Information is needed by every citizen, and elected and appointed officials at all levels rely on information to make decisions affecting those governed.

The White House Conference will need to consider how libraries can serve as effective information centers for all citizens; how libraries can provide elected and appointed officials and their staffs with improved access to needed information; how libraries can best use technology to store, analyze, and transmit information needed by government decision makers and the public; how libraries can receive and make available the information produced by all levels of government, and how we can ensure that access to information is not restricted only to those who can afford to pay for it. Other issues will be identified in the conference process to address the role of library and information services for democracy.

Conclusion

The White House Conference process, with local, state and multi-state pre-White House Conference activities, the national conference itself, and follow-up activities, will involve several hundred thousand Americans addressing critical issues relating to library and information services, and particularly library and information services for productivity,for literacy, and for democracy. The results of the process will assist appropriating authorities, policy makers, planners and service providers in taking the steps needed to strengthen the provision of library and information services for all.

Thank you for the opportunity to testify today.

Toward the
1989 White House Conference
on Library and Information Services

Report to the

National Commission on Libraries and Information Science

From the

White House Conference Preliminary Design Group

December 3, 1985

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I. Introduction

In April, 1985, National Commission on Libraries and Information Science (NCLIS) Chair Elinor Hashim appointed the White House Conference on Library and Information Services Preliminary Design Group. Composed of members from the local, state and federal levels, the representatives are from the Chief Officers of State Library Agencies (COSLA), the White House Conference on Library and Information Services Task Force (WHCLIST) and NCLIS. The Design Group was asked to:

1. Make recommendations on the kinds of appointments which should be made by the President, Senate, House and NCLIS to the 30 member National Advisory Committee (National Conference Committee), taking into consideration minority representation and geographic distribution,
2. Prepare a preliminary design which will recommend the scope and focus of the Conference,
3. Frame the different alternatives for financing the Conference, and
4. Initiate planning for the schedule of events leading to the Conference.

This report responds to that charge and offers suggestions to help advance planning for the 1989 White House Conference. Prepared for the members and staff of the National Commission on Libraries and Information Science, the report also will be useful to the White House Conference Advisory Committee and its staff, and to others who will assist in planning the 1989 White House Conference.

The Preliminary Design Group recognizes that many individuals and groups will have varying opinions about the organization and the focus of the Conference. We encourage NCLIS to widely distribute this report and to continue seeking ideas and suggestions from all persons and organizations interested in the 1989 White House Conference. The success of the Conference requires widespread involvement of the library community and of other interested organizations in Conference planning.

II. Executive Summary

Legislation pending in Congress authorizes a 1989 White House Conference on Library and Information Services. To begin planning for that Conference, the National Commission on Libraries and Information Science (NCLIS) established the White House Conference on Library and Information Services Preliminary Design Group. NCLIS has submitted to the Office of Management and Budget a preliminary budget estimate to begin planning the Conference. National library and information science organizations have expressed interest in and support for the Conference.

Library and information services for productivity, library and information services for literacy, and library and information services for democracy are proposed as the three overarching themes of the 1989 White House Conference. The Conference is a process for widespread discussion of issues relating to these themes and to other concerns for library and information services at local, state, regional and national levels. Participants in Conference activities at all levels will identify and assist in focusing issues, and develop recommendations for action. Subject specialists prepare information for use in issue discussions, and later prepare option papers and other materials to support the agenda for the national conference.

Considerable flexibility is recommended for program activities leading to the 1989 White House Conference. Substate, state and multistate activities addressing library and information services issues, or any combination of activities at these levels, should be permitted, and pending legislation should be amended to allow this flexibility. The White House Conference process must be viewed as a reflection of the federal system in which major decisions are made at all levels of government and in which intergovernmental cooperation is essential.

The pending legislation creates a White House Conference Advisory Committee. The Preliminary Design Group provides a recommended position description for Advisory Committee members, and a chart identifying categories of persons sought, characteristics, and geographic location. While the Advisory Committee is being appointed, NCLIS should appoint an interagency task force of persons from federal agencies whose missions relate to the Conference themes to begin implementation of the authorizing legislation. The Advisory Committee is encouraged to create a program team of subject specialists for each of the Conference themes to assist in planning and to prepare Conference materials. Operations Teams are proposed to assist in management of the Conference.

Conference staff and funds must be secured, and detailed planning of Conference events and activities must begin. Full-time Conference staff must be hired. Additional staff may be available on loan from other federal agencies, from libraries and library, information science and other associations having an interest in the Conference, and on contract for preparation of specific papers and documents. Alternatives for financing the Conference include federal support for all conference activities, a combination of federal and state or private funds, and private support for all Conference activities. Major activities and events leading to the Conference and following the Conference are identified in a Planning Timeline.

The success of the Conference requires widespread involvement in Conference planning. The Preliminary Design Group encourages NCLIS to continue seeking ideas and suggestions from all persons and organizations interested in planning the 1989 White House Conference on Library and Information Services.

III. The Context for Planning the 1989 White House Conference on Library and Information Services

The first White House Conference on Library and Information Services, held November 15 through 19, 1979, was the culmination of 57 state, territorial and theme conferences and other meetings that involved more than 100,000 persons in grass roots discussion of critical issues affecting library and information services.

More than 3,000 resolutions were passed at the pre-White House Conferences, many recommending action at state and local levels to strengthen library and information services. Annual summary reports submitted since 1980 by state library agencies and members of the White House Conference on Library and Information Services Taskforce (WHCLIST) document increases in state appropriations for library and information services, establishment of new grant programs, formation of many statewide Friends of Libraries organizations, expanded continuing education opportunities, and many other significant changes. No one can claim that these improvements occurred only because of the White House Conference or the state level conferences, but many people agree that these conferences helped focus attention on critical issues and helped build broader public support for improved library and information services.

The national White House Conference brought together more than 3,600 participants, including 806 voting delegates, to discuss library and information services issues and to develop recommendations for strengthening services. Delegates passed 64 resolutions urging action by appropriating authorities, policy makers, government agencies and librarians to improve library and information services. By 1985, action had been taken to implement, at least in part, 55 of these resolutions.

One of the recommendations (Resolution F-3) of the first White House Conference on Library and Information Services is "...that a White House or Federal Conference on Library and Information Services be held every decade to establish the national information goals and priorities for the next decade, to assure effective transfer of knowledge to citizenry, and to accomplish this goal in light of accelerated changes in information technology and practices."

Two resolutions (Resolutions F-1 and F-5) adopted by the 1979 White House Conference on Library and Information Services called for the National Commission on Libraries and Information Science to convene a group, with delegates from each state, territorial or special delegation to the Conference, to plan, implement and follow up resolutions from the conference.

In response to these resolutions, the White House Conference on Library and Information Services Task Force (WHCLIST) was formed in September, 1980. For the past five years, WHCLIST has monitored implementation of the 64 resolutions passed by the 1979 White House Conference and has worked toward a 1989 White House Conference on Library and Information Services. The American Library Association has adopted a resolution encouraging a 1989 White House Conference, and most other national library and information service organizations have expressed interest in and support for such a conference.

The National Commission on Libraries and Information Science (NCLIS) which coordinated pre-White House Conferences between 1977 and 1979, and organized and conducted the 1979 White House Conference, also has taken steps toward a 1989 White House Conference. At its July, 1984 meeting, NCLIS adopted a resolution to:

1. Request commitment by the President, the United States Senate, and the United States House of Representatives, to the planning and conduct of a national conference on library and information services in 1989.
2. In consultation with the Executive Office of the President, leadership of the United States Senate and the United States House of Representatives, WHCLIST, and the major national associations representing library and information services, designate during the latter half of Fiscal Year 1985, and subject to the availability of funding, a preliminary Conference Design Group to initiate planning for appointment of a National Conference Committee (to be made in Fiscal Year 1986) and for the agenda of the Conference and the schedule of events leading to the Conference; and
3. Recommend that the President's Fiscal Year 1986 budget request include funds to support the work of the National Conference Committee in planning the 1989 Conference.

An essential step in the process of achieving a 1989 White House Conference on Library and Information Services was taken in April, 1985, by Senator Claiborne Pell (Rhode Island) and Representative Bill Ford (Michigan) who introduced identical resolutions S. J. Res. 112 and H. J. Res. 244, calling for a 1989 White House Conference. During the fall of 1985, other Senators and Representatives have joined as co-sponsors of this legislation.

IV. The Scope and Focus of the 1989 White House Conference

This chapter addresses the White House Conference process. The purpose of the proposed 1989 White House Conference on Library and Information Services is reviewed. Planning assumptions made by the Preliminary Design Group are detailed. Conference themes are proposed, and recommendations are made for processes to identify issues within these themes. Activities leading to the Conference are proposed, suggestions are made for conduct of the Conference itself, and activities to follow the Conference are identified.

Purpose

Pending legislation (S.J. Res. 112 and H.J. Res. 244) states that: "The purpose of the White House Conference on Library and Information Services shall be to develop recommendations for the further improvement of the library and information services of the Nation and their use by the public, in accordance with the findings set forth in the preamble to this joint resolution." Senator Pell and Congressman Ford, in introducing the joint resolutions, call for grass roots involvement by the American public including library users, civic leaders, lawmakers, librarians and others in identifying unmet library service needs, examining library and information service issues, and developing recommendations for future library and information services.

Planning Assumptions

As planning for the second White House Conference on Library and Information Services continues, the Preliminary Design Group recommends that the following assumptions guide the work of the planners:

1. Planning efforts will be based on the public act authorizing a second White House Conference.
2. The Conference should be thought of as a process involving persons from every state, territory and Indian Nation in discussion of issues relating to library and information services at local, state, regional and federal levels.
3. The entire process should result in the identification of user needs which will serve as the basis for realistic planning for library and information services as the twenty-first century approaches.
4. The national conference itself should focus on the three themes recommended in this report, with activities at other levels also addressing these themes as well as local, state and/or regional issues.
5. The process should be viewed as a continuum with local activities building up to any state/regional activities which lead to the national conference; after the national conference the results should be reported back for possible action to regional/state/local participants.
6. The public relations component for the entire process should focus on the advocacy of library and information services as an integral and essential part of a democratic society.

7. The entire conference process should build on the results of the first White House Conference and subsequent developments.
8. Funding for the conference process should not be totally dependent upon federal funds, but should be a combination of private and/or public sector funding.
9. There should be considerable flexibility for agencies planning local, state and regional participation in the pre-White House Conference activities.
10. The opportunity should exist for states to cooperate with each other in holding joint or regional activities.
11. The conference process should involve librarians, library trustees, members of friends of the library organizations, and information services and industry personnel, elected officials at all levels, and representatives of the general public, and the total group should reflect the composition of the population of the states, territories and Indian nations.
12. Emphasis should be placed on attracting and involving persons who were not participants in the first White House Conference on Library and Information Services.

White House Conference Themes

Increased productivity, literacy, and sound government decision making are critical to the health of our nation. They are the concern of the President, Congress, and elected officials at all levels of government. We propose three overarching themes for the 1989 White House Conference: library and information services for productivity, library and information services for literacy, and library and information services for democracy. These themes will enable the Conference to identify unmet needs, examine issues, and develop recommendations as called for in the pending legislation.

These themes also insure that the Conference discussions relate to pressing local, state and national issues that are of concern to the President, Congress, and elected officials whose support libraries need. President Reagan has said: "If we're to renew our economy, protect our freedom, we must sharpen the skills of every American mind and enlarge the potential of every individual American life. Unfortunately, the hidden problem of illiteracy holds back too many of our citizens..."

1. Library and Information Services for Productivity

Productivity in the United States has slowed over the last decade. As a result, our advantage in world markets has been shaken and employment in many industries is affected. *A Nation at Risk* pointed out:

> The risk is not only that the Japanese make automobiles more efficiently than Americans and have government subsidies for development and export. It is not just that the South Koreans recently built the world's most efficient steel mill, or that American machine tools, once the pride of the world, are being displaced by German products. It is also that these developments signify a redistribution of trained capability throughout the globe. Knowledge, learning, information, and skilled intelligence are the new raw materials of international commerce and are today spreading throughout the world as vigorously as miracle drugs, synthetic fertilizers, and blue jeans did earlier....

Economists vary in their opinions regarding the causes of increasing or decreasing productivity, but two factors are often cited: investment in technology (equipment, facilities, process) and investment in human resources (knowledge and development of workers' skills and capabilities).

Human resource development is critically important to increasing productivity. Productivity is reduced when workers have difficulty coping with day-to-day responsibilities or envisioning a long-term productive career. Fiber optics, telecommunications, robotics, biotechnology, microelectronics and other technologies are redefining the way most businesses work. The technology and the shift from a manufacturing to a service-and information-driven economy mandate extensive and ongoing retraining for the workforce. This retraining requires literacy skills on the part of workers and assures their ability for continuing learning. Most workers today will be required to master five different jobs in the course of their working life.

The work force will shrink as the "baby boom" generation begins to retire, and the nation will be increasingly dependent upon minority people in the work force. As there are fewer workers and a higher percentage of disadvantaged workers, opportunities for lifelong learning must become part of the foundation upon which we build renewed national productivity.

Increased employment is a key part of economic growth and the stability of the economy. The majority of jobs now added to the economy are in small businesses. Firms of fewer than 20 employees account for more than half of the jobs in the country.

Ensuring the success and economic vitality of small business has become a national as well as a state-level priority. In New York State, for instance, the importance of small business is shown by the estimate that reducing the annual rate at which small businesses fail by only one percent would contribute 40,000 jobs to the state's economy each year.

As more business becomes international, and we compete further in international markets, business needs an expanded understanding of other cultures, languages, and business practices.

Libraries are information agencies in an information society. They are indispensable to the economic well being of our nation. Research and development depends upon access to information. Libraries are needed by industries, business, and government as they deal with the need to increase productivity and adapt to new technology.

Libraries offer, as well, an historic avenue for individual advancement, a means for increased social and economic mobility for poor and disadvantaged persons. For instance, 10 of the 25 fundable activities under the 1983 Job Training Partnership Act (which focuses on retraining the workforce) are part of today's library services -- including job information counseling, literacy training and work readiness preparation.

Libraries must also continue to provide research and information services vital to economic development. Libraries enhance industrial and business productivity by providing information vital to research and development, operations, and decision making. The products of investment in research, both by government and by the private sector, are available through libraries. Business, science and technology sections of public and university libraries every day provide technical reports, international trade information, economic data, Federal standards and specifications, copies of patents, and other information needed for business and industrial purposes. Small businesses, an increasingly significant part of our economy, need library services because they cannot afford extensive in-house information resources or massive retraining programs.

As technological changes are having an enormous impact on our economy and as our society rapidly becomes more information-based and information-driven, the ability to locate, acquire, organize and use information is essential to success.

The White House Conference will need to consider how libraries can:

- provide business and industry (and small businesses in particular) improved access to needed information;
- help American business acquire a larger share of the international market;
- inform industries, economists, business consultants and others about the resources and services available from libraries;
- expand services that assist in developing a more efficient workforce;
- insure access to new information technology;
- promote economic vitality;
- make information accessible to all people through networks that link the resources of public, university, school and corporate libraries;
- help meet the information, continuing education, cultural, and social needs of senior citizens, ensuring continued productivity of our aging society;
- serve disabled and disadvantaged persons, helping them to become more productive; and
- cooperate with community groups, organizations, and other agencies in focusing upon meeting the needs of troubled youth.

2. Library and Information Services for Literacy

Illiteracy constitutes a national crisis. Some 27 million persons, or one-fifth of the adult population of the United States, are unable to read beyond a fifth grade level. These Americans are functionally illiterate -- unable to complete an application form, write a check, address an envelope, or read a safety notice or warning sign. Another estimated 46 million persons are only marginally competent in the reading and writing tasks related to everyday living and working. At the same time the changing nature of many jobs and a more complex society demands higher levels of reading and writing ability. As a result, millions of these Americans are unemployed, underemployed, or less effective members of society. Young people join the ranks of these two groups of reading handicapped every day.

The cost of illiteracy is clear in the following national estimates:

- Forty percent of adults with incomes under $5,000 are functionally illiterate.
- Over one-third of mothers receiving Aid for Dependent Children are illiterate.
- Eleven percent of today's professional and managerial workers and 30 percent of semi-skilled and unskilled workers are illiterate.
- $6 billion is spent annually on welfare and unemployment compensation due to illiteracy.
- $6.6 billion is spent per year on 700,000 illiterate prison inmates.
- One million students drop out of high school in the United States each year.
- Forty percent of all minority youth may be functionally illiterate.
- $10 billion is expended by corporations in remedial programs for employees.
- $224 billion annually is lost in welfare payments, crime, job incompetence, lost taxes and remedial education.
- $237 billion is forfeited in unrealized earnings of unemployed and underemployed adults.

All libraries play a role in developing and expanding literacy. Libraries offer a unique opportunity for attacking the alarming illiteracy problem in America. The 1984 U.S. Department of Education report Alliance for Excellence calls on "libraries to become active in adult literacy education programs at local, state, and national levels." This recommendation builds on public library experience with serving adult independent learners and in cooperating with schools and community groups. In the last twenty years, libraries have undertaken a dynamic role in helping people who need to develop their reading skills. Libraries seek out and acquire special materials for adult learners. They have added to their library reference services community-based information and referral centers that help potential students and volunteers get involved in local literacy programs and identify other needed services. They work with other literacy education-providers in the community. Libraries provide materials for educators, tutors, and students -- and in many cases they provide library space for tutoring programs. Providing materials, making it easy for people to use those materials, and providing programs, activities, and exhibits that help people in an information society are cornerstones of every library's service. Remediation of literacy problems can involve all types of libraries -- school, academic, public, institution, special, and Native American. Remediation, as well as prevention of problems, can range from helping parents and daycare personnel introduce children to books and reading to cooperation in implementing the results of learning disability research.

In a society that daily becomes more information-oriented and more economically dependent on the effective use of knowledge, the ability to find and use information is a fundamental skill. This ability (currently falling under several rubrics: information skills, information literacy, media literacy, critical thinking skills, and higher order thinking skills, to name a few), extends the definition of literacy. A 1983 Department of Education report states "Most educators are now beginning to recognize that we are living in a world that is driven by more information than can be taught. The average citizen, and certainly the well-educated citizen as well, must therefore be capable of selecting and abstracting the information that is needed at any given time...'Excellence in education can no longer be measured by counting the number of facts a student has memorized. Rather, the criterion must be the ability to sort through bodies of information, find what is needed, and use it to solve... problems." This objective should be realized in part through academic courses and in part through school library media centers which provide special opportunity for students to develop research and self-study skills and to build capacities for lifelong learning.

The White House Conference will need to consider how libraries can:

- more effectively support formal education for literacy;
- assist greater numbers of self-learners and their volunteer tutors;
- help persons whose primary language is not English;
- cooperate with other agencies in community information and referral;
- use new technologies to serve learners;
- help people develop coping skills;
- best extend literacy and other services to people in rural areas;
- support and expand literacy and other services to minorities;
- become effective partners and advocates in mobilizing community, state, and federal action in behalf of literacy;
- help newly literate people expand their educational, cultural, and international horizons;
- best use limited Federal funds authorized under LSCA Titles V and VI, and cooperate with other Federal literacy programs;
- support training and education programs in penal institutions;
- strengthen and develop children's services and parent education programs that will help develop a new generation of life-long learners;
- support lifelong learning for people of all ages, conditions, and abilities; and
- improve services through cooperation with the private sector.

- promote the recognition that the ability to find and use information is a fundamental skill.
- provide opportunities for students to develop the ability to find and use information.

3. Library and Information Services for Democracy

Like business, government at local, state, and federal levels is part of today's complicated information society. Today, more than ever before, information is a crucial resource in a democratic society -- information upon which electors make their decisions, and information upon which elected and appointed officials and their staffs make decisions that affect those governed. Personnel and government decision making is being altered by technology, social change, and a rethinking of federal and state responsibilities. Information can help citizens and public officials anticipate, keep abreast of, and understand issues confronting our society -- issues that may challenge our basic ways of living and thinking. As changes take place in the federal government, more is expected of state and local governments. Government decision making is not the sole responsibility of elected or paid officials -- a democratic society depends upon the informed participation of its people. The Bicentennial of the United States Constitution, which coincides with the White House Conference, suggests the importance and timeliness of this theme.

The White House Conference will need to consider how libraries can:

- serve as effective information centers for all citizens;
- provide elected and appointed officials and their staffs improved access to needed information;
- make use of the technology to store, analyze, and transmit information needed by government decision makers and the public;
- receive and make available the information published by all levels of government;
- maintain up-to-date information about decisions and programs affecting citizens;
- deal with government-produced information regardless of format;
- work with citizen groups to ensure an informed electorate;
- help information users sift through a seemingly ever-expanding information glut, extracting what is useful, reliable, and timely;
- work more fully with the private sector to make information efficiently and economically available;
- assure that access to information is not restricted only to those who can afford to pay for it;
- maintain neutrality in providing information which is variously interpreted and used; and
- cooperate with the Library of Congress and national and state organizations in meeting information needs.

Participation Leading to the 1989 Conference

Every person in the United States has a stake in the White House Conference. Library and information services are so important to the residents and communities of every state, territory, and Indian Nation that the White House Conference process should provide an opportunity for all interested persons to have a role in reviewing needs for service, evaluating services, and planning how library and information services will serve them in the "information society." Technology provides new ways to involve large numbers of people in discussions of local, state, and federal policy on library services. Accordingly, we recommend that conference planning be sufficiently flexible to enable people in the states to determine appropriate activities preceding the Conference meeting in Washington, D.C.

Some state library agency administrators have expressed the desire not to have state conferences. Others propose that they work with neighboring states in planning and conducting multi-state activities. People in some states may find local "Speak-Outs" or regional meetings a useful means of providing grass roots participation.

Because the proposed legislation authorizing the second White House Conference calls for state conferences, we recommend that the legislation be amended or clarified to provide for appropriate substate and multi-state activities.

In planning for state participation in the process, a planning committee should be appointed in each state. If a state plans to cooperate with other states in holding a joint or regional activity, the planning committee will decide how to select those to attend the joint or regional activity. Each state delegation participating in a joint or regional activity will select from its members, delegates to the White House Conference keeping in mind the requirements as specified in the public law.

During the first White House Conference process, some of the preconferences were held two or more years prior to the White House Conference. It is difficult to maintain the interest of participants in a future conference for that period of time. Based on this experience, it is recommended that the pre-White House Conference activities at the local, state and/or regional levels be held as close in time as possible to the national conference.

For the White House Conference to be a success, it is important that the delegates have a common body of knowledge about the themes and issues to be discussed at the conference. A number of alternatives should be developed to create a common expert base, including publications and institutes. Technology, especially teleconferencing and computer networking, as a medium for training delegates should be incorporated to the fullest extent possible.

Participants in the national conference will spend substantial time in group discussions and each participant will want to be as effective as possible in these discussions. It is essential that the state delegations, prior to the White House Conference, be provided with training in group process techniques. Such training will make group activity at the conference flow more smoothly, and as a result, the substance of the group sessions will not be lost due to group process problems. Skilled and experienced moderators or facilitators are essential.

Identification and Consideration of Issues

The White House Conference process seeks to involve thousands of people in each of the states and territories in discussion of issues relating to library and information services. Some of these issues will address the proposed White House Conference themes of library and information services for productivity, literacy, and democracy. Others will be local or state issues. To make the most effective use of participants' knowledge and time, and to meet the purposes of the proposed White House Conference legislation, a framework is needed to focus issues at all levels that will also result in an agenda for consideration of national issues at the White House Conference.

The issues to be addressed by delegates to the national conference should be determined popularly, through a process beginning at the local level and continuing through any state and regional events. We recommend that the issues be simultaneously studied by subject specialists, working with the White House Conference Advisory Committee and discussed in greater detail in Chapter V. Subject specialists should be charged with compiling relevant statistics and other background information for use by delegates at all levels, who must be well-informed to debate issues and develop recommendations.

For organizational purposes, the White House Conference approach to issues should be hierarchical. The three proposed broad, overarching conference themes of library and information services for productivity, literacy and democracy each subsume a number of different issue clusters. Each issue cluster consists of interrelated, narrow and specific separate issues or problems as identified by delegates at all levels. These will eventually be addressed in the conference recommendations.

The early identification of potential issue clusters related to the themes is crucial for development of background information for use locally. To this end, the Conference Advisory Committee should engage a subject specialist for each of the three themes and determine guidelines for the format of their reports.

The subject specialists for the three areas should be charged with identifying potential issues and issue clusters, and with developing relevant delegate briefing materials.

As delegates meet in local, state, and regional events, they will delete, add to, or otherwise modify the previously identified issues and issue clusters. We recommend that substantive questions arising out of this process should be referred to a small subset of the subject specialists, maintained as an on-call cadre. At the close of state activities the Conference staff should compile a final list of issues generated by the local delegates. Those recurring from state to state and of greater than merely local or state interest should be identified from this list.

We recommend that the subject specialists reconvene to formulate an array of possible recommendations to address this list of national issues. Issue option papers would be prepared summarizing recommendations from state or multi-state activities. Separate mini-conferences might be held to elucidate each theme, and recommendations from these conferences also would be included.

Shortly before the White House Conference, those persons selected to be delegates might meet in regional delegate caucuses to add to, delete, or modify the options presented. They then would vote to determine the priority ranking of issues within each cluster and of options for recommendations accompanying them. A second approach might be to poll delegates by mail concerning their choice of options and preferred ranking of issues.

The foregoing procedures are intended to result in a substantive agenda for the national conference. The issues and options for recommendations have evolved through a popular, democratic process which is nonetheless supported by informed opinion from subject experts. At each stage, the mass of inputs is winnowed to form a manageable final body of materials for the Conference. Thus the final Conference discussion and voting represents a genuine grass roots expression of its concerns and chosen recommendations for incorporation into public policy by its elected leaders.

The national White House Conference will require the services of skilled discussion leaders, meeting moderators, and presiding officials. These persons must have a thorough understanding of what is to be accomplished at the Conference and considerable experience in group process techniques.

Activities After the National Conference

It is also important that the results and action plans from the White House Conference be taken back to the people who participated in regional, state or local activities. This will enable the participants to review what occurred at the national conference and to assess what the impact could be on their own recommendations. The opportunity would exist for the participants to discuss what they could do to begin implementing the results of their activities as well as those of the national conference.

This follow-up activity is important. Many of the participants in the state conferences during the first White House Conference process lost interest in both the national resolutions and in the state resolutions when their participation ended with the state conferences. Much time and effort will be expended in preparing the participants, giving them a unique background and experience which must not be lost in the implementation phase due to lack of post-conference communication. This follow-up activity would complete the process at the level where it had begun - the local level.

As specified in the public law, a final report of the Conference including findings and recommendations shall be submitted to the President. This report will become a blueprint for future action. It should be disseminated widely, and plans should be developed by the Advisory Committee for implementation of recommendations.

Following the precedent of the first White House Conference, the Preliminary Design Group hopes that the President will appoint an interagency task force to make recommendations for implementation of the resolutions at the federal level, and to follow up so that these resolutions are implemented.

V. Administration of the White House Conference

Planning for and administration of the White House Conference requires the knowledge and skills of members of various advisory committees and of conference staff; cooperative relationships between states and the federal government, and adequate funding to support all activities. This chapter reviews the role of the White House Conference Advisory Committee. A Federal Interagency Task Force is proposed to harness the resources and skills of federal departments and agencies toward the White House Conference effort. Program and Operations Teams of experts are suggested to assist the White House Conference Advisory Committee. Recommendations are made to encourage cooperative working relationships between the states and the federal government. Suggestions are made relating to conference staffing. Alternatives are identified for financing the conference.

White House Conference Advisory Committee

The proposed legislation establishes a White House Conference Advisory Committee. While the Conference is held under the auspices of NCLIS, the Advisory Committee has responsibility for planning and conducting the Conference. The Advisory Committee selects the Chair of the White House Conference. The Chairman of NCLIS is to serve as the Vice Chairman of the Advisory Committee. The Advisory Committee elects its Chair from among its members, but the Chair may not be a full-time federal employee.

The Advisory Committee consists of thirty persons. Eight members are appointed by the Chairman of NCLIS. Five members are appointed by the Speaker of the House of Representatives with no more than three being members of the House, and five members are appointed by the President pro tempore of the Senate with no more than three being members of the Senate. Ten members are appointed by the President. In addition, the Secretary of Education and the Librarian of Congress are members of the Advisory Committee.

In order to identify responsibilities, qualifications and desirable experience of Advisory Committee appointees, a position description was developed for Advisory Committee members, supplemented by a chart identifying categories of persons sought, characteristics, and geographic regions. These documents are intended for the use of persons making appointments to the Advisory Committee. The documents are included in Appendix A and Appendix B, pages 22 and 23.

Interagency Task Force

Following the enactment of White House Conference authorizing legislation, NCLIS should establish an interagency task force to carry out early White House Conference tasks and responsibilities prior to appointment of the White House Conference Advisory Committee. This task force should consist of representatives from federal agencies and/or their various subdivisions whose missions relate to the conference themes of productivity, literacy and democracy. Under the proposed legislation, such agencies are mandated to participate in relevant activities under NCLIS leadership ("each federal department and agency...shall cooperate with, and provide assistance to the Commission upon its request...") and may provide funding assistance and staff as well as other administrative support. This initial interim effort would continue as needed, subsequent to the establishment of the permanent White House Conference organization with its own staff and offices. A list of relevant agencies from which the Interagency Task Force might be drawn is included as Appendix C, page 25.

Program and Operations Teams

The proposed White House Conference legislation authorizes the Chairman of the Advisory Committee "...to establish, prescribe functions for, and appoint members to, such advisory and technical committees and staff as may be necessary to assist and advise the Conference in carrying out its functions."

The Preliminary Design Group recommends that three Program Teams be appointed, one for each of the Conference themes of library and information services for productivity, library and information services for literacy, and library and information services for democracy. Program Teams would report to the White House Conference Advisory Committee. Responsibilities of Program Teams would include:

1. Identifying and refining issues and issue clusters as detailed in Chapter IV of this report.
2. Advising on plans for White House Conference programs and sessions at the level of responsibility requested by the Advisory Committee.
3. Preparing publications, conducting research and otherwise providing for the necessary background information on Conference themes and issues.
4. Preparing advance materials for delegates to provide a common level of knowledge of each theme.
5. Planning and conducting a mini-conference on each theme, perhaps at and through a major university with a center for the study of the theme area, with papers and reports published as proceedings.

Members of Program Teams should be appointed from a wide variety of national organizations or interest groups with direct interest in the themes. Representatives of library and information services organizations should be on all three Program Teams. A list of possible organizations and interests that might be represented on Program Teams is included as Appendix D, page 27. This is a representative list only and does not attempt to identify all organizations and interests that should be or would went to be involved.

In addition, consideration should be given to appointment of Operations Teams to advise the White House Conference Advisory Committee. Separate Operations Teams might be established to address public awareness, finance, personnel, and publishing.

Federal/State Relationships in Conference Planning

In the planning for the 1989 White House Conference, the relationship between the agency or organizations responsible for the administration of federal funds and the state agency or organization responsible for implementing state or regional programs and activities should be one of mutual dialogue.

Some state agency personnel who participated in 1979 White House Conference activities strongly believe that too many procedures were mandated at the federal level. In some cases, policies and procedures were changed after states were well into the planning of state conferences.

The Conference Advisory Committee must be cognizant of these strong feelings and sensitive to problems that might occur without full discussion. As the Advisory Committee develops the concepts and processes, it is essential that it maintain a dialogue with state agencies and organizations and provide these groups with opportunities and adequate time to respond thoughtfully to proposed plans.

The 1989 White House Conference should be implemented in accordance with a national public act, which is yet to be enacted. Ultimately it must be viewed as a reflection of our federal system in which some major decisions are made at the sovereign state level, territorial level, Indian Nation level, and others are made at the federal level. The need to recognize the intent of Congress as well as existing federal/state relationships in the planning for the White House Conference should complement the experience of traditional federal/state relationships. The relationships among the federal government, the state agency or state organization responsible for the administration of federal funds and the state agency or organization responsible for planning pre-White House Conference programs and activities should also follow that philosophy.

Staffing for the Conference

The conference needs a core full-time staff dedicated to the planning, implementation and post conference activities of the White House Conference. Both management and clerical staff are needed for a sufficient period of time to adequately staff the entire White House Conference process at the national level.

Additional staff will be required for varying periods of time. Coming to the White House Conference with differing backgrounds and skills, these persons may answer the varying needs of the conference process as it moves through each of its phases. Staff may come from at least five possible sources.

First, professional level staff should be lent from other federal agencies. These individuals will probably be of GS 9 level and above. They should have clerical support from their individual agencies.

Second, libraries in the United States may be willing to lend staff to the White House Conference. These individuals will probably be librarians with several years in the profession. Their time spent working on the conference might be treated as sabbatical leave so that they are paid by their library.

Third, interested national organizations and associations may be willing to lend staff to the White House Conference. Staff of associations often are particularly skilled in conference planning and design.

Fourth, some staff may be individuals on leave without pay from various libraries or from other interested organizations. They would work for periods of one month or longer. Their salaries would come from White House Conference funds. They would then return to their permanent positions.

Fifth, librarians and other subject specialists would be available to create specific papers or documents under grants from White House Conference funds, U.S. Dept. of Education grants or other funding sources. These may be library school faculty and other university faculty. They would research and write at their place of employment.

Alternatives for Financing the Conference

The 1979 White House Conference process was financed primarily from public funds provided by the federal and state governments. The Preliminary Conference Design Group has identified several alternatives for NCLIS to consider for financing the 1989 White House Conference process.

One alternative for financing the conference would be for a federal appropriation for the entire cost of the process from the local level to the national level. There will be costs for staff, delegate and committee travel, use of equipment and space, preparation and distribution of materials, and many other White House Conference functions. Expenses would be incurred at the national and state levels. For grant funding from the national level to the states, the Advisory Committee would establish a minimum and a maximum grant amount for which each state would be eligible.

A second approach would be to have the White House Ccnference process funded from a combination of federal, state, and private sources. Federal funds might be made available on a matching basis from funds committed by state government and contributed from private sources. The federal match could be one dollar for every dollar provided by state and/or private sources with appropriate maximum and minimum federal shares. States could use Library Services and Construction Act funds as well as state in-kind contributions in meeting their matching requirements. The advisory committee would establish a maximum allowable in-kind contribution for the state match. This type of funding arrangement would require ccnference planners to prepare carefully for the funding aspects. It would require a long lead time. Many states operate on a biennial budget process and would need to identify funding needs three to four years prior to state activities.

A third alternative would be to fund the process entirely with funds from the private sector. Foundations and corporations could be approached to provide funds for activities at the local, state, regional and national levels.

VI. White House Conference Planning Timetable

Certain activities and events must occur at certain times if the White House Conference process is to progress. A timeline is proposed for a White House Conference to be held in October, 1989. While dates for specific activities and events might be changed or adjusted as needed, it is important that many of the activities occur in sequence so that Conference planning and implementation proceeds as smoothly as possible.

WHCLIS Timeline

fall, winter '85	enlist cosponsors for S.J. Res. 112, H.J. Res 244
spring '86	Senate and House hearings
spring '86	Senate and House committees report bills out for votes
Apr. '86	House and Senate conference
by Sept. '86	Congress passes bill; President signs
Sept. '86	year-end supplemental appropriation
Sept. '86	White House press release
Sept. '86 +	form interagency task force
Sept. '86 - Mar. '87	secure detailees, interim offices
Oct. '86	appoint advisory committee
Nov. '86	select WHCLIS chair
Nov. - Dec. '86	appoint "big name" Deputy Chairs
Nov. - Dec. '86	appoint Executive Director
Dec. - Mar. '87 +	select staff, permanent offices
Dec. '86	begin WHCLIS newsletter
Jan. '87	briefings for national organizations, professional associations industry, etc.
Apr. '87 +	set up mechanism for contributions
May '87	President contacts Governors
June '87	adopt and mail State activity guidelines
July '87	briefings for State coordinators
July - Aug. '87	engage subject specialists
Aug. '87	satellite teleconference/workshops for State events
Sept. '87	White House reception
Sept. '87	develop subject specialist report guidelines
Oct. '87 - Jan. '88	subject specialists refine WHCLIST issue clusters, develop statistics, background information
Feb. '88 - Mar. '89	State activities: meetings, conferences, etc.
Feb. '88	Census, NCES, BLS statistics publications
Mar. '88	miniconference: productivity
Apr. '88	form corporate task force
Aug. '88	miniconference: literacy
Oct. '88	Chair briefs Congress
Nov. '88 - Mar. '89	list issues as identified in States
Feb. - Apr. '89	subject specialists develop issue option papers
Feb. '89	miniconference: democracy
Apr. '89	compile lists: all delegates, issues, options
Apr. - June '89	regional delegate caucuses: prioritize issues, finalize choice of options, form essentials of agenda
June '89	poll delegates for interest areas, make assignments
June - July '89	develop WHCLIS procedures, workbooks
July '89	Department of Education literacy publication
Aug. '89	delegation heads review procedures
Aug. '89	publish and mail to delegates: final agenda, issues and options, workbooks
Sept. '89	NCLIS publishes miniconference reports
Sept. '89	mail miniconference reports to delegates
Sept. - Oct. '89	"national information week/month"
Oct. '89	WHCLIS
Oct. '89 - Jan. '90	summarize recommendations in final report
Oct. '89 +	post-conference activities at regional, state and local levels
Nov. '89	National Press Club press conference
Feb. '90	present final report to President
Mar. '90	testify in House, Senate
Apr. - May '90	form national task force (WHCLIST) to identify and plan implementation, establish post-conference communication channels

VII. Building Support for the White House Conference

Users and providers of library and information services will receive the greatest benefit from investment of time, talent and funds by sharing responsibility for and involvement in the process from the start. The conference ought to be a catalyst for local and state improvement of services long before the national event and its implementation phase.

To ensure results from the White House Conference, involvement must be sought and shared with people from within and without the library field. Indeed, broad grass roots involvement is necessary to secure legislation, funding and Presidential sponsorship. Therefore, the highest priority should be placed on early and continuing communication and feedback. A professional public relations expert should be hired as soon as funds are available--not as a latecomer but as an integral part of early steps. A carefully planned public awareness program and budget will enable the conference staff to establish connections with library support groups as well as with literacy, education, business and public sector organizations. A list of such agencies is included as Appendix D. Trustees and Friends of the Library at local, state and national levels can become allies and financial supporters if channels of communication are established early.

Lively debates at state and national meetings and publication of issue papers in library journals, publications of other organizations, and popular magazines ought to be promoted. Those composing the advisory committee's subject specialists should act as liaisons to their associations.

Realistic expectations for financing the complete conference process are that funds will be needed from government, foundations, business and industry, and organizations. Members of the advisory committee should establish two-way communication with all of these groups far in advance of any need for underwriting.

Securing support begins with early communication. Attention to the cultivation of allies is vital.

Appendix A

ADVISORY COMMITTEE MEMBER POSITION DESCRIPTION

Appointments to the White House Conference on Library and Information Services Advisory Committee will be made by the President, the Speaker of the House of Representatives, the President pro tempore of the Senate, and the Chairman of the National Commission on Libraries and Information Science. Potential appointees will want to know what Advisory Committee member responsibilities will be. This position description has been prepared for consideration by appointing authorities.

TITLE	Member, Advisory Committee for White House Conference on Library and Information Services, 1989.
RESPONSIBILITIES	As a member of a 30 person advisory group, in effect, this person will have the same responsibilities as a corporate or association director or library trustee. She/he will participate in policy making, planning, review and evaluation of program segments and financial statements to assure success of the conference within the allotted budget. Professional full-time staff will be available for early planning, implementation and evaluation of the conference.
QUALIFICATIONS	Expertise in acquiring, providing or transmitting information. Ability to think conceptually and with national perspective. Sound and impartial judgement. Strong personal commitment.
EXPERIENCE	The #1 or #2 person in a corporation/organization/state/municipality or other government entity or a person familiar and comfortable with board responsibilities is required. Preferably the individual's occupation will relate to libraries and information services either as a user or a provider of information. In any case, key elements for this advisory appointment are: (1) proven leadership capabilities displaying effectiveness in guidance and oversight and (2) commitment to a successful conclusion.
COMPENSATION	Actual transportation costs and standard government per diem.
ESTIMATED TIME REQUIRED	Six, two-day meetings per year and travel time plus study time during planning and implementation phases.
MISCELLANEOUS	In addition to the above qualifications, and in order to provide appropriate diversity, the categories in Appendix B should be considered.

Appendix B

ADVISORY COMMITTEE COMPOSITION CHART

Appointing authorities will want to make the Advisory Committee as representative as possible. This chart has been prepared for consideration by appointing authorities.

	Northeast	Southeast	Central	Mt./Plains	West
1. LIBRARY PROFESSIONAL					
a. Public					
b. K-12					
c. Academic					
d. Special					
e. Government					
1. Federal					
2. State					
f. Library Education					
2. LIBRARY SUPPORT					
a. Trustee					
b. Friend					
c Prof. Assn.					
3. INFORMATION PROFESSIONAL					
a. Publisher					
b. Author					
c. Media					
1. Print					
2. Electronic					
d. Abstracting					
e. Data Base					
f. Network					
4. USER					
a. Professional					
b. Business/Industry					
c. Technical/Science					
d. Homemaker					
e. Student					
5. GOVERNMENT					
a. Federal Official					
b. State Official					
c. Local Official					
A. DEMOGRAPHIC					
a. Urban					
1. Innercity					
2. Suburban					
b. Rural					
1. Town					
2. Country					
B. AGE					
a. 18-32					
b. 33-50					
c. 51-65					
d. 65-Over					
AA. MINORITIES					
a. Native American					
b. Black					
c. Hispanic					
d. Asian					
BB. HANDICAPPED					
a. Visually					
b. Deaf/Oral Deaf					
c. Limb Immobile					

The White House Conference on Library and Information Services Taskforce uses the regional structure outlined below for its organization. Appointing authorities may wish to consider this regional structure in making appointments to the Advisory Committee.

Northeast

Connecticut
Delaware
Maine
Maryland
Massachusetts
New Hampshire
New Jersey
New York
Pennsylvania
Puerto Rico
Rhode Island
Vermont
Virgin Islands

Southeast

Alabama
District of Columbia
Florida
Georgia
Kentucky
Louisiana
Mississippi
North Carolina
South Carolina
Virginia
West Virginia

Central

Arkansas
Illinois
Indiana
Iowa
Michigan
Minnesota
Missouri
Ohio
Wisconsin

Mtn/Plains

Colorado
Kansas
Montana
Nebraska
North Dakota
Oklahoma
South Dakota
Texas
Utah
Wyoming

West

Alaska
Arizona
California
Hawaii
Idaho
Nevada
New Mexico
Oregon
Pacific Territories
Washington

Appendix C

POTENTIAL SOURCES FOR INTERAGENCY TASK FORCE MEMBERS

- Executive Office of the President
  - Office of the Vice President
    - Domestic Policy
  - Office of Management and Budget
    - Office of Information and Regulatory Affairs
  - Office of Policy Development
    - Office of Policy Information
    - Office of Private Sector Initiatives
  - Office of Science and Technology Policy
  - Cabinet Council on Human Resources
  - National Productivity Advisory Committee
  - National Voluntary Service Advisory Council

- Department of Agriculture
  - Assistant Secretary for Science and Education Administration
    - Extension Service
    - National Agricultural Library
  - Under Secretary for Small Community and Rural Development
    - Rural Development Policy

- Department of Commerce
  - Assistant Secretary for Communications and Information Policy
    - Policy Analysis and Development
    - International Affairs
    - Telecommunications Applications
    - Institute for Telecommunications Sciences
  - Assistant Secretary for Productivity, Technology and Innovation
  - National Technical Information Service
  - Bureau of Economic Analysis
    - National Analysis and Projections
  - Bureau of the Census
  - Economic Development Administration
  - Assistant Secretary for Trade Development
    - Office of Service Industries
      - Information Industries Division
    - Deputy Assistant Secretary for Science and Electronics
  - National Bureau of Standards
    - Institute for Computer Sciences and Technology
  - President's Commission on Industrial Competitiveness

- Department of Defense
  - Deputy Assistant Secretary for Public Affairs
    - Directorate for Freedom of Information and Security Review
  - Defense Technical Information Center
  - Technical Libraries (10 in D.C. area)

- Department of Education
  - Assistant Secretary for Educational Research and Improvement
    - Center for Libraries and Education Improvement
    - National Center for Education Statistics
  - Assistant Secretary for Special Education and Rehabilitation Services
  - Assistant Secretary for Elementary and Secondary Education
  - Assistant Secretary for Vocational and Adult Education
  - Division for Information Services
  - Division for Library Programs
  - National Advisory Council on Adult Education
  - National Advisory Council on Continuing Education
  - National Advisory Council on Indian Education
  - National Advisory Council on Vocational Education
  - National Advisory Council on Women's Educational Programs
  - National Council on Educational Research
  - Office for Research

- Department of Health and Human Services
  - Office of Human Development Services
    - Administration for Children, Youth and Families
    - Administration on Aging
    - Administration on Developmental Disabilities
  - National Library of Medicine

- Department of the Interior
  - Bureau of Indian Affairs
    - Office of Indian Education Programs
    - Office of Indian Services

- Department of Labor
  - Employment and Training Administration
    - Office of Job Training Programs
  - Bureau of Labor Statistics
  - National Commission for Employment Policy

- Department of State
  - Assistant Secretary for Economic and Business Affairs
    - Transportation and Telecommunications Affairs
  - Bureau of International Communications and Information Policy

Independent and Legislative Branch Agencies

ACTION
Copyright Royalty Tribunal
Corporation for Public Broadcasting
Federal Communications Commission
Government Printing Office
Library of Congress
National Council on the Handicapped
National Endowment for Democracy
National Endowment for the Humanities
National Science Foundation
Postal Rate Commission
Small Business Administration
Smithsonian Institution
United States Information Agency
Veterans Administration

Appendix D

EXAMPLES OF ORGANIZATIONS AND GROUPS
FOR POSSIBLE PROGRAM TEAM MEMBERSHIP

A. Library and Information Services Associations

American Association of Law Libraries
American Indian Library Association
American Library Association and its divisions and units
American Society for Information Science
Association for Library and Information Science Education
Association of Research Libraries
Chief Officers of State Library Agencies
Friends of Libraries USA
Medical Library Association
National Association of State Educational Media Professionals
Special Libraries Association
Urban Libraries Council
White House Conference on Library and Information Services Task Force

B. Related Associations

Association for Educational Communications and Technology
Association of American Publishers
Computer and Communications Industry Association
Information Industry Association
National Federation of Abstracting and Indexing Services
Society of American Archivists

C. Education Associations and Groups

American Association for Adult and Continuing Education
American Association for Higher Education
American Association of University Professors
American Council on Education
American Federation of Teachers
Council of Chief State School Officers
Institute of Educational Research
International Reading Association
Laubach Literacy International
Literacy Volunteers of America
National Association of Independent Colleges and Universities
National Congress of Parents and Teachers
National Education Association
National School Boards Association

D. User Groups

American Association of University Women
American Federation of Labor/Congress of Industrial Organizations
American Management Association
Association of Junior Leagues
Boy Scouts of America
Boys Clubs of America
Camp Fire, Inc.
Chamber of Commerce of the United States
Girl Scouts of the U.S.A.
Kiwanis International
League of Women Voters of the United States
Lions International

National 4-H Council
Optomist International
Quota International
Rotary International
United States Jaycees
Zonta International

E. Special Groups

American Association of Retired Persons
American Council of the Blind
Association for Children and Adults with Learning Disabilities
Black Affairs Center
Division of Physically Handicapped Children
Hispanic Institute in the United States
National Council on the Aging
National Federation of the Blind
Service Corps of Retired Executives Association

F. Public Affairs Groups

American Society for Public Administration
Council of State Governments
Education Commission of the States
National League of Cities
National Association of County Officials and County Executives

G. Business, Industry, Professional and Agricultural Interests for Which Association Representation Might Be Sought

Agriculture
Construction
Electronics
Financial
Heavy Industry
High Technology
Light Industry
Law
Medicine
Mining
Retail
Utilities
Wholesale

H. Sources, Other Than Associations

Administrative and support staff of Congress
National libraries

Appendix E

PRELIMINARY DESIGN GROUP MEETINGS AND ACTIVITIES

At its first meeting in Washington, D. C. on April 17, 1985, the Preliminary Design Group accepted the charge and formed subcommittees to begin identifying issues and drafting recommendations. The Design Group also determined that it would solicit as many ideas and suggestions as possible from all interested persons. To that end, Design Group Chair, Bill Asp, wrote a letter requesting ideas and suggestions for Design Group consideration. More than 1,200 copies of the letter were sent by NCLIS to participants in the 1979 White House Conference, including all conference planners and members of advisory groups. The letter was also sent to library and information services associations and other professional associations having an interest in library and information services. Some thirty responses were received, with many suggestions which the subcommittees discussed. Almost all responses indicated support for a 1989 White House Conference, offered assistance in planning, and expressed interest in continued involvement.

Additional assistance to the Design Group was provided by staff of the Congressional Research Service, Library of Congress. Robert Chartrand, Senior Specialist in Information Policy and Technology and ex-officio Design Group member, and Sandra Milevski, Senior Research Assistant, provided a variety of reports and other documents to the Design Group. Ms. Milevski prepared an extensive report on White House Conferences held since 1979, reviewing composition of conference advisory committees; conference design, scope and focus; conference finance and time schedules for planning. Mr. Chartrand is working with Joseph Becker to prepare for NCLIS a report on techniques for reviewing the NCLIS national program document, *Toward a National Program for Library and Information Services: Goals for Action*, with the possibility of having the document revised or a new national program document developed for discussion at the 1989 Conference.

The Design Group continued its work at meetings in Chicago on July 8 and August 27, and in a meeting in New Orleans on October 22 and 23, 1985. Work was completed in November, 1985.

Acknowledgments

The White House Conference on Library and Information Services Preliminary Design Group expresses its sincere appreciation to all individuals and organizations offering ideas and suggestions which greatly assisted the Design Group in developing recommendations for planning the 1989 White House Conference. Special appreciation is expressed to Mary Alice Hedge Reszetar, Associate Director of NCLIS, who offered valuable information and ideas, arranged for all Design Group meetings, and prepared minutes of Design Group meetings. Special appreciation is also expressed to Ruth Miller, Minnesota Office of Library Development and Services, for providing clerical support for the Design Group including the typing of this report.

TESTIMONY OF DR. WILLIAM ASP, DIRECTOR, DEPARTMENT OF EDUCATION, ST. PAUL, MN

Mr. ASP. Mr. Chairman and members of the subcommittee, my name is Bill Asp. I'm director of the office of library development and services in the Minnesota Department of Education. Also, during the past year I worked with the National Commission on Libraries and Information Science, chairing the White House Conference Preliminary Design Group. The report of that group is attached to my testimony, and I'd like that to be part of the record.

While the purpose of my testimony today is to thank you, Mr. Chairman, for your leadership in introducing House File 244 and to voice support for House resolution—Joint Resolution 244, as the director of a State library agency which administers the Library Services and Construction Act in Minnesota, I, too, would like to voice my concern about the proposed rescissions which President Reagan has proposed for elimination of construction funds and funds for public library literacy programs this year, and the zeros again for the fifth consecutive year in the Library Services and Construction Act in forthcoming years.

LSCA has been central to the development of library services in Minnesota, as it has been in every other State. The funds that are provided under that program were those funds to be eliminated would destroy two of the concepts that are basic to our program. Those concepts are, first of all, that every citizen of Minnesota has a right to access to public library service, and LSCA supports that approach and that goal we have of equal access to service.

The second component of our program that is so essential and so supported by LSCA is the notion that it's important for libraries to develop new services responsive to the changing needs of the population. It's the funding that comes from LSCA that provides the seed money for the development of new service programs.

The library programs supported through LSCA serve the people in the urban areas, the suburban areas and the rural areas. Thirty bookmobiles travel the country roads of Minnesota, stopping at crossroads and stopping in small towns bringing library service to people. And those bookmobiles would cease to provide this service if the LSCA funds are not continued.

The services provide—the Library Services and Construction Act provides opportunities for development of new services. One of the new priorities in public library services are developing services specifically targeted at early childhood and family education. How can libraries provide for the information needs of parents in parenting? How can libraries support the efforts for early childhood education to prepare children to enter the public education system?

How can libraries provide access to new technology? Again a varied program, which in Minnesota is supported with the Federal Library Services and Construction Act funds.

Much of our interlibrary loan service also is supported, a resource sharing program for libraries to exchange information in response to requests that they receive from their users. The editor of the Worthington, MN, Daily Globe recently described his library as the Library of Congress because for him it provides access not just to the materials in the building but to the materials that are in area libraries in his region and to libraries throughout the State and other States.

So these are the kinds of programs that would be eliminated if the Library Services and Construction Act is not funded. I'm very, very concerned to hear the kinds of comments that Congressman Gunderson made, because I think there's an assumption that, first of all, there was once a golden mean in Federal support where everything was in perfect balance, and so now the appropriate way to address Federal priorities is to take across-the-board reduction.

I don't think that the Congress or the President anytime in American history has ever achieved a golden mean of support for public services, nor do I think that kind of approach is desirable. I think priorities constantly need to be readdressed, and library and information services have to continue to be a high priority for a Federal role and a Federal presence.

So I'm concerned that the idea is that library programs need to be cut more. I guess the second thing that concerns me is that there's an assumption that somewhere in support of library and information services, be it LSCA or the budget of the Library of Congress, there's a lot of loose change floating around that could be eliminated without showing some kind of visible reduction in service, such as closing hours in the reading room or eliminating programs.

Libraries do get, as Mr. Buckley said, a lot of bang for the buck, but they get it by stretching the buck and using every penny they have. Cuts inevitably are going to result in cuts in service, and libraries don't have places they can cut which will not show visibly to the public.

Well, I came to talk about the White House Conference, and I'm going to move on to that next.

House Joint Resolution 244 calls for a 1989 White House Conference on Library and Information Services and states that the purpose of that conference is to develop recommendations for the future improvement of library and information services of the Nation and the use of library and information service by the public.

In introducing the resolution, Mr. Chairman, you pointed to the need for a grassroots effort involving civic leaders, library users, lawmakers, librarians and others in identifying the unmet needs for library services, examining library and information service issues and developing recommendations for future library and information services.

The White House Conference Preliminary Design Group based its report on the provisions of the pending legislation and provides some specific recommendations for the mechanics of operating the Conference, including several models for financing the Conference, and then discusses some major central themes which the Preliminary Conference Design Group feels could be the focal point.

The White House Conference is perceived in the pending legislation as a process, a process involving persons in every State, territory and Indian nation in discussions of issues relating to library and information services at local, State, regional and Federal level. It's seen as a continuum with local activities building to State level activities building to multistate activities, and then a national conference.

Also, then following a national conference, reporting back for continued involvement for implementation of the recommendations of the conference.

Three overarching themes are proposed for the White House conference by the preliminary design group. These themes are: First, library and information services for productivity; second, library and information services for literacy; and third, library and information services for democracy.

These three themes would be addressed at the local, State—and State level activities, along with local and State issues, and then would be the focal point at the national conference.

Increased productivity in the economic vitality of the nation, the ability of the Nation to compete in international markets, the ability of our people to be profitably employed, are all major issues relating to productivity. Libraries are major players in the economic vitality of this country. We're information agencies in an information age. We support research and development. We're needed by business and industry and Government to provide information, to assist business and industry to compete, assist people to become employed, and provide for opportunities for use of new technology to become more efficient.

The White House Conference on Library and Information Services and the preliminary activities should consider a whole range of issues relating to ways that library and information services can better support and better serve the Nation in terms of the nation's need to improve productivity.

The second theme, library and information services for literacy, is another opportunity for libraries to address issues relating to ways that libraries can serve better as centers for persons to improve their basic skills. Illiteracy is a national crisis, and libraries are working now in an effort to become partners in addressing illiteracy; but many issues remain which should be addressed by the national conference.

The third major theme that is proposed is library and information services for democracy. A democratic system depends on an informed—the informed participation of its people in decisionmaking, and the White House Conference on Library and Information Services should consider how librarian can serve as effective information centers for all citizens as well as how they can provide better information services for elected and appointed officials and their staffs.

The White House conference process, with the local activities, the State and the multi-State activities, can be an opportunity for hundreds of thousands of Americans to participate in discussion of issues relating to some very, very important services. The results of that process will assist appropriating authorities, policy makers, planners and service providers in taking steps that are needed to strengthen the provision of library and information services for all.

Mr. Chairman, I thank you for the opportunity to testify today.

Mr. Ford. Thank you very much. Barbara Cooper.

[Prepared statement of Barbara Cooper follows:]

Statement of Barbara Cooper, Chair
White House Conference on Library and Information Services Taskforce
Before the Subcommittee on Postsecondary Education
of the House Committee on Education and Labor
on the Second White House Conference on Library and Information Services
as proposed in H. J. Res. 244
April 8, 1986

I am Barbara Cooper, Chair of WHCLIST, the White House Conference on Library and Information Services Taskforce. We are an independent non-profit association formed by delegates after the 1979 White House Conference to work for implementation of the resolutions they passed. Our taskforce is about half volunteers like myself and half professional library people, from every state and territory. We thank you, Mr. Chairman, for your introduction of House Joint Resolution 244 to authorize and request the President to call a second White House Conference not later than 1989. We delegates in 1979 also resolved that it should be held.

Your introduction of this legislation sets in motion a long process with beneficial effects along every step of the way. The national conference is the keystone. But there are substantial benefits in the planning phase which comes before it, and the implementation phase which will follow it. The involvement of library and information service providers with citizens, elected officials and library supporters (such as trustees and Friends of the Library) as called for in the legislation, provides a catalyst for improvement of services at local, state, regional and national levels. With this incentive, critical issues can be addressed in publications and papers and at programs and meetings.

Four years before the first White House Conference, the National Commission on Libraries and Information Science published the landmark *Toward a National Program for Library and Information Services: Goals for Action*. Its recommendations were heartily debated, sometimes transformed and generally assimilated in the White House Conference planning and implementation phases which followed. I hope your legislation will unleash similar creative juices for solutions to the new problems out there.

Today you are hearing of reports and needs which lay a groundwork for H. J. Res. 244.

Last year WHCLIST released a Five Year Review of Progress Made Toward Implementation of the Resolutions Adopted at the 1979 White House Conference. We believe this to be an impressive and inspiring documentation of accomplishment and would be pleased to make copies available to the committee. The implementation review team found great or good progress made toward implementation of 55 of the 64 resolutions adopted. While these can serve as a foundation for a second conference, common sense indicates that by 1989 we will face a different agenda--one required by technological changes, yes, but also by the economic and social changes of which you as legislators are so aware. As proven by our 1979 experience, we can use the 1989 White House Conference mechanism to deal with changes on behalf of a basic and irreplaceable resource--the library in all its forms--public and private, large and small, diverse in governance, and threatened in funding.

Another guideline is the WHCLIST Annual Report from the States (and territories) which shows continuing progress toward White House Conference goals. Today I would like to touch on just one of the achievements from 1979. In my own state of Florida, the lay people who took part in the White House Conference were so convinced of the need to tell the public about the valuable services of libraries that they made doing this their first priority. We volunteers organized the "Council for Florida Libraries" and conducted a statewide public awareness campaign about what libraries offer the public, later expanding it to what libraries offer business. Each year such statewide public relations campaigns are reported to WHCLIST, and they are often facilitated by such citizens councils or state Friends groups. The Illinois Coalition of Library Advocates is planning a similar PR campaign. Pennsylvania Citizens for Better Libraries has raised library awareness in school children through their statewide essay contest. California, Kentucky and Wisconsin state Friends groups are well-organized and conduct workshops to encourage the local Friends and give them expertise with projects.

Indeed, the traditional Friends of the Library role was rejuvenated by the White

House Conference. It became more activist when new people and new goals were brought into the library world. The raising of funds for the "icing on the cake" is still important, but Friends now use their projects and their clout to promote reading, library use and increased state and local funding. Since 1979 there has been a marked increase in the number of states having "legislative days" and a related increase in state and local dollars for libraries and library buildings. The large number of citizen advocates involved surely has helped with this success.

Yesterday the national Friends of Libraries U.S.A. released results of their first (and incomplete) nationwide survey: 2,329 Friends groups reported in 1985 that they had 599,537 ~~350,862~~ members who raised $27,714,066 in support of libraries (an average of 46 ~~$79~~ per member), primarily for public and academic libraries. Here are some additional statistics: In the area where Friends got their start, Massachusetts has over 84,000 Friends, New Jersey 77,400 and New York 61,930. California, also with a long Friends history, has 63,000 members. 24,613 Michigan Friends reported they raised $2,595,162. Minnesota has 8,700 Friends, Wisconsin 7,800, Iowa, 7,000 and Ohio a whopping 25,000. I am glad to be able to present to you these first ever statistics on citizen support of libraries. Surely the little over $3 million in federal funds appropriated for the first White House Conference was an investment which has paid real dividends in citizen involvement.

In 1985 we also asked the states to report back to us what they consider to be the three most important agenda items for a 1989 White House Conference. Please note that these responses were made before loss of Federal Revenue Sharing and the direct and indirect impacts of Gramm-Rudman-Hollings. The four most frequently cited areas of concern were:

- resource sharing and multitype library cooperation
- safeguarding access to information for all
- broad-based literacy programs
- stable federal, state and local funding for libraries.

New York wanted the conference to look at "library services for a healthy economy and expanded productivity." Illinois and Minnesota both suggested dealing with "giving the public access to new technology, through and in libraries." Many states put literacy first. It seems to me that this conference ought to be the vehicle for bringing librarians from all types of libraries together with educators, parents and literacy agencies to coordinate their efforts into a successful, cohesive all-out attack on this grievous problem.

We commend you for getting this national planning process underway. We believe it will bring great dividends in meeting people's needs for knowledge and information. And we look forward to organizing helpful activities in support of the second White House Conference.

Ms. **Cooper.** I'm Barbara Cooper, Chair of WHCLIST the White House Conference on Library and Information Services Task Force. We are an independent nonprofit association formed by the delegates after the 1979 White House conference, and we work to see that the resolutions of that conference are implemented.

Our task force is about half volunteers like myself and half professional library people. We're from every State and territory.

We thank you, Mr. Chairman, for introducing House Joint Resolution 244. We, the delegates in 1979, also resolved that this conference should be held. Today your hearing of reports and needs which lay a groundwork for this resolution which you have introduced. Last year WHCLIST released a 5-year review of progress made toward implementing the resolutions. We think this is an impressive and inspiring document, and we'd like to make it available—copies available to the committee.

The team that looked at all the resolutions found great on good progress made toward implementation of 55 of the 64 resolutions adopted. So here you have a groundwork, but it's obvious that this second conference has many new difficult things to address.

Another guideline is our annual report from the States and territories, and that shows continuing progress toward the goals of the first White House conference. One of those goals which I as a citizen am particularly concerned with is the development of citizen involvement with libraries and in their support.

After our Governor's conference, we organized the Council for Florida Libraries, and we've gone on and conducted a statewide public awareness campaign about what libraries can offer the citizens of the State, and later what libraries can offer businesses in the State.

Illinois—the Illinois Coalition of Library Advocates is just getting ready to conduct that type of PR campaign, and I've been talking with them about that. Indeed, this type of thing which citizens can do was rejuvenated by the White House conference, particularly the role of Friends of the Library. All these new people came and joined the group.

One of the things WHCLIST sees is the growth in the numbers of State legislative days in the State capitols, and we think that the citizens turning out for this have caused these marked increases in State and local funding for libraries.

I want to conclude with a report that was issued yesterday afternoon. Friends of Libraries U.S.A., the National Friends Organization, has made a nationwide survey which, as far as I know, is the only—is the first measure of what citizens have been doing for libraries. They found—and this is totally incomplete, perhaps half of the full number—2,400 Friends groups which reported in 1985 that had 599,000 members.

These people who had reported reported that they raised almost $28 million in private funds in support of libraries. In the area where Friends got their start, Massachusetts has over 84,000 Friends; New York, almost 62,000; California, 63,000. There are almost 25,000 Michigan Friends, and they raised over $2.5 million in private support.

Minnesota has 8,700 friends. Missouri has over 7,600 Friends. These are the first concrete statistics that can show you what citizen involvement can do, and this, I would say, is going to be encouraged once again with the prospect of the second White House conference.

We in WHCLIST are ready to support this conference and do all that we can to make it a meaningful one.

Mr. **Ford**. Thank you, Barbara, very much. Is it a fair assumption that if, indeed, we were talking about a sum equal to the last White House conference translated by inflation into modern dollars and then discounted by Gramm-Rudman, that we could find a way to make up the money if we could just get the sponsorship of the White House to run it?

Ms. **Cooper**. To—? Yes.

Mr. **Ford**. Maybe you'll take a pencil and work that out for me. Take the $3.5 million and inflate it for the period from 1979 and then knock off the Gramm-Rudman cut and see how much we have to have.

Ms. **Cooper**. You know; I think, Mr. Chairman, that you made a very good observation in an earlier part of this meeting. The $3.5 million that was invested in 1979 is really such a small amount; and when you said $3.5 million to $4 or up to $5, I think the conference can be run for a very small amount. And I think that the lay volunteers and all the other groups are really going to get together to see that it's done and on the local level, and that the delegates are sent.

Mr. **Ford**. Thank you. Mr. Owens.

Mr. **Owens**. I have no questions.

Mr. **Ford**. Mr. Hayes.

Mr. **Hayes**. Thank you, Mr. Chairman. I don't necessarily have a question. I do want to make a comment.

I'm sorry that my colleague on the other side of the aisle, for whom I have a lot of respect for on some issues, had to leave; because I am concerned about this just blanket approach to reducing the deficit without establishing some priorities as to where we are going.

For example, in Chicago we are in the process now of—we got some controversy over the location of our central library, and then the funds, the sharing of the funds in terms of the cost. I'm sure it's going to be a real political issue before it's finally resolved. But the Federal Government has to have a role in the rebuilding of that library, regardless of its location.

I am concerned about our priorities and our sense of direction that we go. As the gentleman said in the first panel who was here, there's a big gap between a proclamation and our performance, particularly under this administration. Our deeds don't fit the words that sometimes we espouse.

I just think, Mr. Chairman, that like these hats I saw a few people wearing here—but I do want to caution you that there's a lot to be done before this proposed bill can become law. You have to change a lot of minds, because we are—many people here in this body of which I'm a part of—there's more concern about whether or not we can make it to Tokyo in 2 hours from Dulles Airport than we are about retaining our libraries or some of the other programs that benefit people.

We're also concerned as to whether or not—immediate concern now as to whether or not we're going to be able to dispense post haste $100 million to the Contras in Nicaragua, and this is at the expense of some of the kinds of programs that we are talking about here.

I just want to say that you need to step up your activities in lobbying people who are a part of this body, not just members of this committee but—because, at least on this side of the aisle, this bill itself, or the author of it, is the chairman of our committee.

I don't suspect you'll find too many in opposition to it on this side of the aisle. No question about it. But on the other side of the aisle, I think we've got a lot of work in changing priorities before this kind of proposed legislation can ever become into fruition.

Thank you very much, Mr. Chairman.

Mr. **Ford**. Thank you very much, and I thank the panel for your preparation and assistance to the committee today.

I'd like to call now Ms. Joyce Woods, librarian of the Saline Public Library in Saline, MI; and Lucille C. Thomas, library consultant, former assistant director of school libraries, New York City, and Dr. Page Miller, director of the National Coordinating Committee for the Promotion of History, Washington, DC.

I want to thank you for coming all the way down here, Ms. Woods. I know that our weather is just as nice in Michigan, and it's a busy time to be down here.

Let me say to the panel that I want to apologize in advance. Promptly after noon a piece of legislation from this committee will be called up on the floor and, as the chairman, I have to go over and handle it on the floor. For your information, it's the renaming of an already existing program. It does not have budget impact, but it renames a program that we reauthorized last year in the Higher Education Act for Christa McAuliffe, because of the tremendous attention that she brought to schoolteachers through her tragic death.

We thought it only appropriate that, when we were passing legislation we hoped was going to promote the concept of excellence in education as personified by outstanding teachers that her name be attached to it.

So I would like to ask you to proceed at this time, and pay no attention when I slip away and the gentleman from New York takes over. You're in good hands with him.

[Prepared statement of Joyce Woods follows:]

PREPARED STATEMENT OF JOYCE WOODS, DIRECTOR, SALINE AREA PUBLIC LIBRARY

Thank you for the opportunity presented here to speak on behalf of public libraries and their needs.

You see before you the Director of a small Michigan public library. The library is Saline Area Public Library and my name is Mrs. Joyce Woods. Saline Library serves the city and parts of five surrounding townships with a total population of 12,000. This service is provided on a budget of $125,000 for fiscal 1985-86.

An important part of this budget comes from federal funds in the form of Library Service and Construction Acts Title I, II, III. Let us examine the impact of these funds on Saline and other Michigan public libraries.

Under the Title I program, Saline has received grants through the Huron Valley Library Co-operative for a microfiche reader-printer, audio recorders and head sets, materials for children's programs, films, reference books, and adult literacy material, just to name a few. This year Title I funds will provide for the purchase of a microcomputer to perform repetitious tasks and free the staff to provide more personalized service to the patrons. All of these programs and services would not have been possible without Title I.

Saline is not the only library to be affected. Here is what Sharon Rothenberger, Michigan Grants Coordinator has to say about LSCA Title I:

Upholding the zero-level-of-funding recommendation for the Library Services and Construction Act will mean a loss of $496,000 for Michigan's public libraries. The state of Michigan is organized into sixteen public library cooperatives with over 370 public library members. Grants are made directly to the cooperatives and/or to individual member libraries. Most of the projects made possible by Title I funds improved service where it is currently inadequate and many services and resources will be eliminated without LSCA assistance. The effects of this would include curtailment of the purchase of microcomputers for libraries and special delivery programs for library users who are geographically isolated. The steady move toward overall improvement in Michigan public library services will halt without continued Federal assistance to supplement state and local support.

The U.S. Dept. of Education has designated eight of Michigan's public libraries as major urban resource libraries (MURLs) serving a population of 100,000 or more. In recognition of the import role these libraries play both in their communities, and throughout the state in the sharing of their resources, all eight libraries have received MURL grants from Title I funds. These grants are available through LSCA when Title I appropriations exceed $60 million nationally. Without the continued support for Title I, programming for senior citizens, the acquisition of materials for youngsters with reading difficulties and the acquisition of new library technologies will stop, or at best, be impeded.

Over 70% of our Michigan public libraries serve populations of 25,000 or less and have very distinct needs. This year thirteen grants were made for continuing education for staff, for public relations efforts aimed at greater public recognition of services and staff skills, and for delivery of specialized materials. These grants are only a small beginning in the effort to meet the special needs of small libraries.

Michigan's two regional and thirteen subregional libraries for the blind and physically handicapped also benefit from LSCA Title I support. In FY 1985, LSCA Title I monies provided 75% of the operating budget for the Library of Michigan Regional Library for the Blind and Physically Handicapped and 15% of the budget for the Wayne County Regional Library for the Blind and Physically Handicapped. LSCA funding is essential in order to serve the potential 1.4% of Michigan's population eligible to receive this kind of service. It is currently estimated that without LSCA funding, at least one-half of the subregionals in the state would close their doors and others would be forced to severly reduce services. The Regional Library at the Library of Michigan would also have to curtail services.

The 1980 state census data revealed that 13-15% of adults 20 years of age or older, estimated at 797,000 people, had less than a 9th grade education. In addition, approximately 1,330,000 Michigan residents do not have a high school diploma. Close to half a million state citizens read below the 4th grade level. While Title VI offers the possibility of Federal assistance for public and state library literacy projects, Michigan has this year elected to make additional awards from LSCA Title I to public libraries involved in community literacy efforts. Over $125,000 has been granted to sixteen libraries for tutor training, reading materials, outreach activities, and coordination efforts. Continued strong support from Congress is necessary to provide for more literacy programs in Michigan's public libraries.

LSCA Title II is another vital source of revenue for libraries. LSCA Title II provides funding for public library construction and renovation. Michigan libraries have taken full advantage of this program over the past four years with the help of local matching funds. A number of years passed in the 1970's and early 1980's without a Title II appropriation, but in 1983 the Emergency Jobs Act provided $50 million for public library construction. Michigan's share, $2.6 million, was extended to fund forty-nine projects. The size of grants and the ambitiousness of the projects varied. The smallest Title II grant was $477 and the largest was $397,760.

The projects funded with 1983 Emergency Jobs Act dollars served as a catalyst for Michigan's public libraries. Saline applied for a grant to provide better access to the library building for the elderly and handicapped, but did not receive monies due to a lack of funds. Library needs were far greater than available grants. In 1985, with slightly less than half as many Federal dollars available, just as many applications were received as in 1983. Once again using local match money, libraries large and small were proposing new construction or renovation, work to make libraries more handicapper accessible or more energy efficient, as well as projects to accomodate modern technology. Forty-seven projects received $843,500 in 1985 and thirteen additional projects are ready for awards using FY 1986 Title II funds.

With construction projects at this high level, it might be expected that the need for Federal assistance would dwindle. Letters of Intent to apply for Title II grants in FY 1987 are currently being received. Fifty-three letters have already been received indicating a need for over $3 million in LSCA funds to match local dollars at the rate of 45/55%. Saline is among the libraries once again applying for assistance. Saline would provide $16,000 locally for a grant of $13,000 for barrier free service to physically disabled patrons. The need is great because of the increasing number of senior citizens using the library. According to a Washtenaw County demographic profile, persons in Saline age 65 years and over have increased by more than 100% from 1970 to 1980.

Not only Saline, but the entire State of Michigan has a continuous need for Federal construction assistance.

In the areas of networking and library resource sharing, Michigan has relied on LSCA Title III appropriations to act as the backbone for the state's organization of fourteen regions of cooperation. Geographically, these regions cover the entire state and include in their membership school, academic, health-science, business, public and special libraries. Regions are important because they provide the mechanism to draw together a wide variety of library resources and services for library users. Regions are an essential tool for providing access to library materials throughout the state. Cooperation and a willingness to share library materials makes a real difference in the quality of library service for our citizens.

Title III funding support has allowed Michigan to be in the forefront of resource sharing through the development of a statewide listing of magazines and periodicals. Librarians and patrons locate, request, and receive materials through use of this resource. Some regions are also developing automated listings of their book collections. This makes sharing of material among libraries easy and efficient. Title III funds have been used to purchase microcomputers, software and peripheral equipment to enable libraries within regions to communicate, to have access to electronic bulletin boards and to identify the location of requested library materials.

Michigan has just embarked on another exciting project. Sixteen state-of-the-art telefacsimile copiers have been placed around the state to facilitate high-speed document delivery.

Title III grants were made to finance these purchases and will be necessary to make this network grow. The telefacsimile network allows the transmission of the full text of library materials such as a journal article to hospitals, government and business offices and other agencies when time is an important factor. To illustrate, I received much of the information for this report by telefacsimile. Without the service, the material needed to formulate this report would not have been delivered in time.

Without continued Title III funding support there is real danger that the state's fourteen regions of cooperation will be unable to continue their development of automated systems, library resource sharing and other forms of cooperation. No one library can begin to provide all the services and library materials necessary to satisfy the demands of their entire constituency. The continued support of the regions with LSCA funds is essential.

To conclude, all of the LSCA Title programs are imperative for an educated citizenry to shape a promising future for our communities, states, and country. Let me clinch the point with four sentences by a great philosopher, Alfred North Whitehead. They state the case as well as any statistic.

> In the conditions of modern life the rule is absolute, the race which does not value trained intelligence is doomed.
>
> Not all your heroism, not all your social charm, not all your wit, not all your victories on land or at sea, can move back the finger of fate.
>
> To-day we maintain ourselves.
>
> Tomorrow science will have moved forward yet one more step, and there will be no appeal from the judgement which will then be pronounced on the uneducated.

Members of the committee, thank you for your time and concern for libraries.

TESTIMONY OF JOYCE WOODS, LIBRARIAN, SALINE PUBLIC LIBRARY, SALINE, MI

Ms. WOODS. Thank you so much for inviting me here today to speak on behalf especially of the small public library. So often we feel alone and neglected, and it's wonderful to be included here.

My name is Joyce Woods. I'm the director of a small Michigan public library that serves the city of Saline, a small portion of five surrounding townships. We serve a total population of 12,000 on an annual budget of $125,000 a year.

Understand when I say Saline, I mean any small rural public library. It's interesting that the National Library Week theme is "Libraries: Awesome." On the one side we have how awesome it is what the Library Services and Construction Act can do to help small libraries. On the other hand, we have the awesome cuts.

Taking first title I: In the past Saline has benefited from title I by services they just would not have been able to provide to their public without. We have had things such as microfiche reader printers to provide the youngsters with vocational material to help them decide on a future career. We've had literacy materials to help in tutoring those who cannot or have problems with reading.

Children's programs, other audio-visual materials, are just some of the things that have helped small public libraries.

The total amount that it would mean for Saline Public Library, if we had the zero funding of the LSCA moneys, would amount to $496,000. We have as part of that money moneys that go for resource libraries. A small public library can't possibly provide all of the diverse needs of its public today. We have to rely on larger libraries to help us out.

Ann Arbor is the resource library for Saline, and in 1985 they received $23,000. There are eight of these resource libraries throughout the State of Michigan, and without them we wouldn't have the special needs of seniors, just to name a few, and the literacy program available to us to help us.

Rural libraries in Michigan compose 70 percent of the public libraries, and by this we mean those serving populations of under 25,000. The Library of Michigan, through the title I program, has given $125,000 to help in the education of staff members in these small libraries. Saline itself has just recently received $200 to send staff to a rural conference in Lansing on legislation and funding.

Library for the blind and physically handicapped in Michigan is also very dependent on title I. In 1985 75 percent of that library's budget came from title I funds. This serves approximately 1.4 of the Michigan population, and in Washtenaw County 1,000 people. Saline is in Washtenaw County.

Our subregional library for the blind and physically handicapped received $13,000. If we have a cut in the title I program, it would mean that one-half of the subregional libraries in Michigan would close, and services would be severely curtailed to the regional libraries and the remaining subregional.

Another program very important and dear to everyone is the literacy program. In Michigan 13 to 15 percent of adults 20 years and older have less than a ninth grade education; 1,330,000, no high school diploma. One-half million read below the fourth grade reading level.

The $125,000, which is just a small start, was allocated to help literacy programs for libraries to help these people. It's appalling, and it's very, very costly.

Leaving title I, go on to title II which deals with construction and renovation of libraries. In Michigan this started in 1983 with approximately $2.6 million funding 49 projects; Saline did apply at that time, but the funds were just not adequate enough, and our application was denied.

At present, there are 80 letters of intent for moneys in 1987. Saline is once again among them. We can provide $16,000 locally for a grant of $13,000 to provide barrier-free access to our library for the physically handicapped.

Since time is of the essence, I'll go on to title III. This concerns networking and resource sharing of multitype libraries. These regions are composed not only of public libraries but hospitals, business, colleges, many different types of libraries that can share their expertise and resources with one another.

This has been done in the past by computers, and we now have a very exciting new project, 16 telefacsimile copiers to provide for high-speed document delivery throughout the State. This would take an article from a hospital and deliver it to a businessman where time is of the essence.

Another illustration is by yours truly, because I couldn't have obtained the figures for this report to be here before you today if it hadn't been for the Library of Michigan sending down the materials to me by telefacsimile copier.

In conclusion, I don't see how we can be without any of the LSCA title money. They're all very important for our local communities, for our States, for our country's educated citizenry.

As the others who have preceded me like to quote their famous people that they feel the comment is very pertinent, I would like to clinch my statement, my testimony, with the great philosopher, Alfred North Whitehead. It states it better than any of the statistics that I have here given you.

> In the conditions of modern life, the rule is absolute—the race which does not value trained intelligence is doomed.
>
> Not all your heroism, not all your social charm, not all your wit, not all your victories on land or at sea, can move back the finger of fate.
>
> Today, we maintain ourselves.
>
> Tomorrow, science will have moved forward yet one more step, and there will be no appeal from the judgment which will then be pronounced on the uneducated.

Thank you once again for allowing the small public library to be represented here today and for your support.

Mr. Ford. Thank you very much.

Lucille Thomas.

[Prepared statement of Lucille Thomas follows:]

Statement
of
Lucille C. Thomas

on behalf of the
American Library Association

before the
Postsecondary Education Subcommittee
House Committee on Education and Labor

April 8, 1986

My name is Lucille C. Thomas. I am a library consultant and former assistant director for school libraries for New York City. I serve on the Executive Board of the American Library Association. Within ALA's American Association of School Librarians, I chair an advisory committee on School Library Media Month. In that capacity I was very much involved in the effort to gain official recognition of the special role school libraries play in literacy and the learning process, so I am delighted that Congress has recently completed action on S.J.Res. 52, designating April 1986 as National School Library Month. The measure now awaits the President's signature and a presidential proclamation.

Mr. Chairman, I would like to thank you for your support of that measure in your capacity as Chairman of the Post Office and Civil Service Committee. In that capacity also, I appreciate your support and concern for continuation of preferred postal rates, including the library rate so necessary to resource sharing, and free mail for the blind. Mr. Owens, I would like to thank you for calling the attention of the House to National Library Week by the special order for one-minute speeches by Members about libraries which you have announced for tomorrow, April 9.

My thanks go to both of you for convening this hearing on several crucial library issues, and for scheduling it during National Library Week. This Subcommittee and its parent Education and Labor Committee have provided strong bipartisan support of library programs. It is a great honor and pleasure to be here to greet you during National Library Week and National School Library Month.

Mr. Chairman, you have not heard the last of my thanks. I hope it will not embarrass you if I continue in this vein, but I must thank you even more strongly for your leadership in introducing H.J.Res. 244, calling for a second White House Conference on Library and Information Services (WHCLIS) in 1989. I truly believe that one of the most significant steps Congress and the White House have taken to improve library services was the bipartisan support and involvement in the first White House Conference held in 1979.

With Education and Labor Committee leadership, that conference was authorized under President Ford and funded at a modest $3.5 million under President Carter. No further federal funding was requested or needed. Yet over 100,000 people were involved in the preceding 57 state and territorial conferences and at the national conference.

I serve as a New York member of the WHCLIS Task Force, a group of delegates to the first WHC charged with monitoring implementation of the WHCLIS resolutions and working toward a 1989 WHC as called for by the 1979 delegates. The WHCLIS Task Force has documented an impressive amount of progress toward implementation, including increases in state appropriations for library and information services, expanded continuing education opportunities, the formation of many statewide Friends of Libraries organizations, and other significant evidence of increased citizen involvement in library and information services.

One of the earliest and most tangible effects of the first WHC was an increase in interlibrary cooperation funding for the Library Services and Construction Act title III from $5 million to $12 million. Congress has continued strong support for this program with FY '86 appropriations of $18 million. This increased support for resource sharing among school, college and university, public and other libraries, and across local and state boundaries has been a real impetus for using new technology to link libraries together, and for encouraging school and small public and college libraries to join online systems. As recessions, uneven economic recovery, state tax limitations, and changing federal policies over the last ten years have caused immense budgetary pressures on libraries, interlibrary cooperation has been one of the few avenues libraries have available to "do more with less" and to try to maintain service at as adequate a level as possible.

Times have changed in ten years, the challenges facing libraries have increased, and the role of libraries is evolving and seems in transition. It is indeed time to plan for another national conference to assess the state of libraries and to refine the federal role in support of library and information services. For these reasons I strongly support H.J.Res. 244, as does the WHCLIS Task Force and the American Library Association. The ALA Council passed a resolution on July 10, 1985, in support of H.J.Res. 244 and its companion measure, S.J.Res. 112. A copy of the resolution is attached to my testimony. I urge the Subcommittee to take action on this legislation at the earliest possible date.

Now I would like to talk about library services to children and some of the federal library programs that have an impact on services to children. In the past few years, there has been a resurgence of interest in education in the United States. We have been inundated by reports and studies calling for reform in our schools. A Nation at Risk: The Imperative for Educational Reform, the 1983 report to the nation and the Secretary of Education by the National Commission on Excellence in Education, warned that American schools are sinking in "a rising tide of mediocrity."

Fully recognizing that the report omitted the role of libraries, librarians issued an alarm; subsequently, two reports were issued in 1984 in response: Alliance For Excellence by the Education Department's Libraries and the Learning Society Advisory Board, and the American Library Association's Realities: Educational Reform in a Learning Society. Both reports cite an array of problems facing school and public libraries, including:

- Three million pupils attend public schools without a library; 15 percent of our schools have no library.
- The number of school librarians has declined by 10 percent since the 1960s.
- The lack of librarians in elementary schools is especially severe.
- Between 1974 and 1982, expenditures for library books increased by $.36 per student, less than the rate of inflation.

The modern approach to learning -- individualized instruction, team teaching, mainstreaming, visual literacy, bilingual education, flexible scheduling and independent study -- presupposes libraries containing a variety of media, but materials without a knowledgeable library staff to make them relevant and exciting lack proper impact on the teaching-learning process. Resources without a qualified library media specialist to organize and make them an integral part of the teaching-learning process are of minimal value to teachers and students.

According to a survey on public school libraries in New York City by the Educational Priorities Panel (School Libraries...No Reading Allowed, May 1985), the New York City public school budget identifies expenditures of $15.3 million for 504 library positions in the 1984-85 school year. This is a reduction of 81 positions since fiscal year 1980 and a decrease of 266 or more than one-third since before the 1975 fiscal crisis in New York City. In 1982, these schools had only one school librarian for every 954 students. That is the equivalent of an average of only 20 seconds for each student.

I served on a joint study committee of the Women's City Club of New York and the Citizens' Committee for Children of New York which conducted a study of elementary school libraries of the New York City public schools in 1984-85. The Key to Literacy -- Unlocking Library Doors (November 1985), which summarizes the findings, documents the erosion of library media programs and certified staffing since the city's fiscal crisis and the loss of federal funding specifically for school libraries.

Some of the findings were truly shocking:

> What about schools with no functioning libraries at all? In several districts severe overcrowding has forced the conversion of libraries into classrooms. In these

> instances, most of the libraries have been dismantled and the collections distributed among the classrooms. In some schools efforts were being made to provide book carts and to circulate books from class to class. But, as one principal commented, "You can't put an encyclopedia in every classroom."
>
> In districts where space was not the problem, lack of staff led to closing of once intact libraries. In these libraries most of the books remained on the shelves and the door was simply shut.

The joint study committee found some of the reference collections contained outdated materials which can be misleading to the young, curious student seeking the latest information on a current topic. The Educational Priorities Panel illustrated the effects of outdated materials:

> Imagine entering a library today that was stocked in 1975. There would probably be literature that contained sex stereotyping and little to promote nontraditional roles for girls and young women. There would be little available in the much needed and now expanding area of high interest-low academic level materials for the older student with limited basic skills. Maps, globes, and atlases would be missing 14 countries and misnaming another nine. This library would have no references or materials about a host of events -- the 1977 New York City blackout, the first test tube baby, the hostage crisis, U.S. Presidents named Carter and Reagan, the Three Mile Island nuclear reactor accident, the space shuttle, the first woman astronaut, the 1980 and 1984 Olympics and countless scientific discoveries. There would be no handbooks on using a personal computer.

Did the studies do some good? Well, for the first time, New York State allocated $2.00 per pupil for library materials and the City matched this by setting aside $2 million for its public schools. Considering that the average children's book now costs over $10.00, a children's magazine subscription over $13.00, and the average reference work almost $36.00, this is not a great deal of money. However, it is an initial recognition of the need for library materials.

Nationally, the Elementary and Secondary Education Act title II (funded from FY 1966-76) provided assistance for the acquisition of school library resources, textbooks and instructional materials. One of the major effects of this program was the establishment of stocked and staff elementary school libraries in many schools which had none previously. A "small" consolidation, the ESEA IV-B program (funded in FY 1976-81) combined title II with educational equipment and guidance, counseling and testing, but still provided an estimated 20 to 30 percent of all funds spent on school library resources and instructional equipment. ESEA IV-B received $161 million in its last year of funding, FY '81.

A "big" consolidation, the Education Consolidation and Improvement Act of 1981, combined ESEA IV-B with 27 other programs in a block grant. Preliminary results of an evaluation conducted for the Education Department indicate 67 percent of school districts spent $97 million on library resources and instructional equipment. Information from school librarians shows the effect to be very uneven under the block grant, with some schools receiving more funds for libraries while others get none.

New York State Education Department officials indicate that for the 1984-85 school year, 702 school districts (out of a total of 731) applied for Chapter 2 grants, and allocated $1,743,566 (of $24.8 million available to school districts) for libraries. In addition, the State allocated $350,000 for technical assistance to schools for effective use of library and other learning resources. Altogether, New York State used $2,093,566 of its $31.1 million Chapter 2 funding for school library purposes. This compares with $12.4 million received by New York through ESEA IV-B in its last year of funding.

For the State as a whole, five percent or 75,600 elementary school students were estimated in 1984 to receive no library service of any type; 71,900 in New York City and 3,700 outside the City. (Some of the 50 nonrespondent schools also can be assumed to have no library service, which would increase the total unserved.)

Chapter 2 funds, coupled with state and local support, have provided students intellectual and physical access to information beyond the confines of their library media center. Through the use of computers and participation in library networks, students and teachers can access information from databases and borrow materials (resource sharing) through interlibrary loan from other libraries.

Information provided when it is needed, where it is needed, improves the ability of an individual student. Students are individuals, each with unique informational, educational, physiological and social needs. Despite this underlying philosophy, in the average elementary school library media center, students' informational needs are not met because of lack of library materials and staff. What are some of the consequences if our library media programs are not funded at an adequate level?

- Staff shortages
- Problems in minority recruitment
- Limited access to information
- Lack of training for librarians, both preservice and continuing education
- Lack of nurturing of early literacy

In a recent report, Books in Our Future (Joint Committee on the Library, 1984) Librarian of Congress Dr. Daniel Boorstin states, "If our citizens are to remain free and qualified to govern themselves, we must face and defeat the twin menaces of illiteracy and aliteracy -- the inability to read and lack of the will to read." Functional illiteracy costs the nation over $224 million a year in crime, remedial education, lost tax revenues, welfare payments, and incompetent job performance. More financial support and greater commitment to school libraries can strengthen library media programs, which can serve as illiteracy intervention intermediaries.

In elementary schools which stress effective library services, especially in the early grades, the library media center can promote early literacy. School library media centers frequently give elementary school children their first experience with information resources and shape the students' lifetime use of libraries and information. Jeanette Veatch, an expert in the teaching of reading and author of Reading in the Elementary School, states in her book: "Librarians, whether they know it or not, are often the best teachers of reading in the nation...because they put children and books together."

A child's early experience with literature can instill a lifelong love for reading. Children's literature provides vicarious experiences of adventures, excitement and struggle against the elements and other obstacles. Can we afford to deny children literary experiences which develop their imaginations and help them consider nature, people, experiences and ideas in new ways? Children need literature (1) to develop language, (2) to extend their reading interest, (3) to facilitate learning to read, (4) to develop imagination, and (5) for enjoyment. If children and young people have been denied quality library media materials and services, there is a chance that they missed the opportunity to read extensively about ethnic and linguistic minorities and about their own heritage.

To prepare students to be lifelong learners, the library media center must provide collections which appeal to the interest and needs of the students, matched with a library media specialist capable of motivating them to read widely and in depth. Lifelong learning is based on the view that learning occurs throughout life as a normal and natural process. To ensure that our students develop the necessary skills in locating and evaluating information, library instruction is a vital component of an effective library media program.

The 1985 Becoming a Nation of Readers: The Report of the Commission on Reading, produced on a Department of Education contract, focused on developing good reading skills and habits early in the learning process. Recommendations included: parents should read to preschool children and informally teach them about reading and writing; parents should support school-aged children's continued growth as readers; children should spend more time in independent reading; and schools should maintain well-stocked and managed libraries.

The newest Education Department report unveiled by Secretary Bennett and President Reagan March 4, What Works: Research About Teaching and Learning, also emphasizes the importance of reading to children, storytelling that actively involves the listeners, and the amount of independent reading a child does. One common-sense finding states: "Children improve their reading ability by reading a lot. Reading achievement is directly related to the amount of reading children do in school and outside." The commentary on this finding includes a shocking statistic: half of all fifth graders spend only four minutes a day reading while they devote 130 minutes a day to viewing television.

Public libraries are also invaluable resources for children. I have already mentioned the importance of LSCA III which has fostered increased cooperation among school and public libraries. LSCA title I for the improvement of library services has also had an impact on children's library services. In Brooklyn, the public library uses LSCA I for several special services, including the Child's Place. Located at eight branch libraries and the Central Library, the Child's Place offers special programs for preschoolers and the people who live and work with them, as well as special books and toys.

LSCA I also helps fund the Brooklyn Public Library Literacy Program which offers free one-to-one tutoring by trained volunteers for people who can't read. Often what prompts an adult to seek literacy tutoring is the arrival of a baby, the desire to read to one's child, or the embarrassment of being found illiterate by one's children. The new LSCA VI library literacy program will provide much needed additional support for literacy projects.

I would like to mention one other federal program that has an effect on library services to children, and could help solve a growing problem if it were funded at a more adequate level. U.S. demographics are changing; the number of children is once again increasing and many more of those children are minorities. Yet there is an acute shortage of trained children's librarians, and a continuing shortage of minorities in the library profession.

The number of minority students enrolled in library schools has dropped 40 percent since 1979. At the 1986 Midwinter Meeting of the American Library Association, Dr. Lorene Brown, Dean of the Atlanta University School of Library and Information Studies, said there is a crisis in minority enrollment in library schools due to a decline in financial assistance, especially decreased support for the Higher Education Act title II-B program for training in library science.

Statistics reported by the Department of Library and Information Science, Queens College, City University of New York, indicate a wide discrepancy between the number of minorities applying for the HEA II-B graduate fellowships and the number available to be awarded:

Year	Applicants	Fellowships Available
1982-83	62	2
1983-84	49	1
1984-85	25 (75 inquiries)	2
1985-86	35	2

Overall, about three percent of the applicants receive II-B fellowships. The Queens College fellowship program is designed to encourage and prepare outstanding and highly motivated minority students for effective roles as librarians in school, public, and academic libraries that serve racial and ethnic groups in the local communities, as well as for librarians that serve health and hospital facilities. Unless they have other financial assistance, the applicants who are not accepted as fellows do not matriculate in library and information science.

As Alliance for Excellence noted: "Librarians need updating, much like the electrical and computer engineers who have to refurbish their know-how within five years after graduation. The more dependent they become on technology, the more librarians also need professional reeducating." Some years back, when funded at higher levels, HEA II-B provided continuing education institutes as well as fellowships. The former National Defense Education Act title XI also provided institutes to upgrade the skills of school library personnel. Institutes similar to these are needed once again.

Even though we stand today on the threshold of both an information explosion and a technological revolution designed to make information instantly available, library media centers are insufficiently funded to exploit these existing possibilities. Providing funds for school library media centers is not a wasteful expenditure or a frill but an indispensable investment in our future.

As a representative of the library profession, and on behalf of the American Library Association, I implore this Subcommittee to do all that it can to provide funds for school library media centers and for all libraries at a level that will ensure effective library services and programs for our students -- the greatest resource of our nation. Thank you for this opportunity.

Attachment: ALA Resolution on 1989 White House Conference on Library and Information Services

RESOLUTION ON 1989 WHITE HOUSE CONFERENCE ON LIBRARY AND INFORMATION SERVICES

WHEREAS, The 1979 White House Conference on Library and Information Services served as a focal point for planning library and information services for the succeeding decade; and

WHEREAS, There is an urgent need now to consider future directions for library and information services; and

WHEREAS, The American Library Association has supported legislation for a 1989 White House Conference on Library and Information Services; and

WHEREAS, Senator Claiborne Pell and Representative William Ford have introduced legislation for a 1989 White House Conference on Library and Information Services; now, therefore, be it

RESOLVED, That the American Library Association express deep appreciation to Senator Pell and to Congressman Ford for their leadership in introducing S. J. Res 112 and H. J. Res. 224; and be it further

RESOLVED, That the American Library Association urge other Senators and Representatives to join as co-sponsors of this legislation.

Adopted by the Council of the
American Library Association
Chicago, Illinois
July 10, 1985
(Council Document #47.5)

TESTIMONY OF LUCILLE C. THOMAS, LIBRARY CONSULTANT (FORMER ASSISTANT DIRECTOR OF SCHOOL LIBRARIES, NEW YORK CITY), BROOKLYN, NY

Ms. THOMAS. My name is Lucille C. Thomas. I'm a library consultant, a former assistant director for school libraries services, New York City. I serve on the Executive Board of the American Library Association, and within one of the divisions, the American Association of School Librarians, I chair the National School Library Media Month Committee. In that capacity, I am delighted that Congress has recently completed action on a resolution designating April 1986 as National School Library Media Month.

Mr. Chairman, I would like to thank you for supporting that measure as Chair of the Post Office and Civil Service Committee. Also, I appreciate your support and concern for continuation of preferred postal rates, including the library rate so necessary for resource sharing and free mail for the blind.

Mr. Owens, I would like to thank you for calling attention of the House to National Library Week by the special order for 1-minute speeches by Members about libraries which you have announced for tomorrow, April 9.

Mr. Chairman, I thank you even more strongly for your leadership in introducing House Joint Resolution 244 calling for the second White House Conference on Library and Information Services in 1989. As a participant in the White House Conference in 1979, and as the New York representative to the WHCLIS Task Force, I am truly able to say we have documented an impressive amount of progress since that conference.

Times have changed, and libraries face many other challenges. Therefore, it is time to assess the state of libraries and redefine the Federal role in support of libraries. Therefore, I strongly support House Joint Resolution 244, as does the American Library Association, and the WHCLIS Task Force. I urge the subcommittee to take action on the legislation as soon as possible.

Now I would like to talk about library services to children and some of the programs that have made an impact on services for children.

I am speaking on behalf of the millions of children who are voteless. Therefore, librarians are speaking in their behalf.

We have been inundated by reports and studies calling for reform in our schools. "A Nation at Risk: The Imperative for Educational Reform," released in 1983, reported by the National Commission on Excellence in Education, warned that American schools are sinking in a rising tide of mediocrity.

However, we must point out that there was an omission of the school libraries or any libraries for that particular instance. Of course, the answer to that was the release of two reports, Realities which was released by the American Library Association, and Alliance For Excellence, reported and compiled by the Department of Education.

Both of these reports, of course, are very significant for our plans for libraries. On the local level, in New York City a survey of public school libraries was made by the educational priorities panel, and in a publication entitled "School Libraries—No Reading

Allowed," released May 1985, they identified that the New York City public school budget has $15.3 million for 504 library positions in 1984–85 school year.

This is a reduction of 81 positions since fiscal year 1980 and a decrease of 266 or more than one-third since the 1975 fiscal crisis in New York City. In 1982, these schools had only one school librarian for every 954 students. That is the equivalent of an average of only 20 seconds for each student.

I served on the joint study committee of the Women's City Club and the Citizens' Committee for Children in New York which conducted a study of elementary school libraries, and their publication, "Unlock—The Key to Literacy—Unlocking Library Doors," was issued November 1985. It summarizes the findings and documents the erosion of library media programs and certified staffing since the city's fiscal crisis and the loss of Federal funding especially for school libraries.

The joint study committee found some of the reference collections that contained outdated materials which can be misleading to the young, curious student seeking the latest information on a current topic. The Educational Priorities Panel illustrated this, and I would like to give a quote from this particular report:

> "Imagine entering a library today that was stocked in 1975. There would probably be literature that contained sex stereotyping and little to promote nontraditional roles for girls and young women. Maps, globes, and atlases would be missing 14 countries and misnaming another nine. This library would have no reference to materials about a host of events—the 1977 New York City blackout, the first test tube baby, the hostage crisis, and their materials would not even mention the United States Presidents Carter and Reagan and, of course, countless other scientific discoveries. There would be no handbooks on using a personal computer."

Well, did these studies by the grassroots people in New York make a difference? The answer is yes. For the first time, New York State allocated $2 per pupil for library materials, and New York City matched this by setting aside $2 million for its public school libraries.

A historical perspective reminds us of Elementary and Secondary Education Act, title II, funded fiscal year 1966–76, as well as the ESCA title IV(b) program funded 1976–81. The Educational Consolidation and Improvement Act of 1981 combined ESCA, title IV(b) with 27 other programs.

Preliminary results of an evaluation conducted for the Education Department indicate 67 percent of the school districts spent $97 million on library resources and instructional equipment. Information from school librarians show the effect to be uneven under the block grant, with some schools receiving more funds for libraries than others receiving none.

New York State Education Department officially indicates that 1984–85 school year 702 school districts out of a total of 731 applied for chapter 2 grants and allocated $1,743,566 out of a possible $24.8 million available to school districts. In addition, the State allocated $350,000 for technical assistance to school libraries. Altogether, New York State used $2,093,566 of its $31.1 million of chapter 2 funding for school library purposes.

What are the consequences if our library media programs are not funded at an adequate level? Staff shortages, problems in minority recruitment, limited access to information, lack of training for librarians, preservice and continuing education, and the lack of nurturing of early literacy.

I would like to refer to what my colleague mentioned about the statistics of the adults in her town. Well, we feel that if we are given adequate support at the school level, we will be able to serve as intervention intermediaries.

Functional illiteracy costs the Nation over $224 million a year in crime, remedial education, lost tax revenues, welfare payments, and incompetent job performance. Public libraries are also invaluable resources for children; Library Services and Construction Act, title I, for the improvement of library services has made an impact on children's library services.

In the Brooklyn Public Library, LSCA title I is used for several special services, including the Child's Place. Located at eight branches and the central library, the Child's Place offers special programs for preschoolers and the people who live and work with the children.

LSCA also helps fund the Brooklyn Public Library Literacy Program which offers free one-to-one tutoring by trained volunteers. The new LSCA title VI library literacy program will provide much needed additional support for literacy projects.

Chapter 2 funds, coupled with State and local support, have provided students intellectual and physical access to information beyond the confines of their library media centers. Through the use of computers and participation in library networks, students and teachers can access information from data bases and borrow materials through interlibrary lean from other libraries.

There is an acute shortage of trained children's librarians and a continuing shortage of minorities in the library profession. The number of minority students enrolled in library schools has dropped 40 percent since 1979. At the midwinter ALA conference, Dr. Lorene Brown, dean of the Atlanta University School of Library Service and Information Studies, said that there is a crisis in minority enrollment in library schools due to decline in financial assistance, especially the Higher Education Act title II(b) for training in library science.

Statistics reported by the department of library and information science, Queens College, City University of New York, indicated a wide discrepancy between the number of minorities applying for the HEA II-B graduate fellowships and the fellowships awarded.

For example, in 1982–83, 62 applicants applied at Queens College. Only two fellowships were available to be awarded. In 1985–86, 35 applicants applied, and only 2 fellowships were available.

Overall, according to Queens College, about 3 percent of the applicants receiving the fellowships are awarded fellowships.

Continuing education is an important area as well. As Alliance for Excellence noted:

> Librarians need updating, much like the electrical and computer engineers who have to refurbish their know-how within 5 years after graduation. The more dependent librarians become on technology, the more they need professional reeducating.

Institutes similar to those provided by the former NEA title XI and by Higher Education Act title II-B are needed to upgrade the skills of the library personnel. Even though we stand on the threshold of both an information explosion and a technological revolution designed to make information instantly available, library media centers in all libraries are insufficiently funded to exploit these existing possibilities.

Providing funds for school library media centers is not a wasteful expenditure or a frill, but an indispensable investment in our future.

As a representative of the millions of children and the library profession, and on behalf of the American Library Association, I implore the subcommittee to do all that it can to provide funds for school library media centers and all libraries at a level that will ensure effective library services and programs for our students, the greatest resource of our Nation.

Thank you for this opportunity.

Mr. OWENS. Thank you, Ms. Thomas. Dr. Miller.

[Prepared statement of Page Miller follows:]

NATIONAL COORDINATING COMMITTEE
FOR THE PROMOTION OF HISTORY

NCC

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Organization of American Historians
Society of American Archivists
Western History Association
Phi Alpha Theta
American Association for State and Local History
Society for Historians of American Foreign Relations
Society for History Education
Southern Historical Association
American Bibliographical Center, Clio, Inc.
Coordinating Committee on Women in the Historical Profession-Conference Group on Women's History
History of Science Society
Society for the History of Technology
Berkshire Conference of Women Historians
Conference on Peace Research in History
Immigration History Society
Northern Virginia Association of Historians
Conference Group for Central European History
Women Historians of the Midwest
a Association of Historians
American Historical Association
Agricultural History Society
American Library Association-Library History Round Table
Western Association of Women Historians
National Federation of State Humanities Councils
Society for History in the Federal Government
National Council on Public History
National Archives Assembly
American Association for the History of Medicine
Association for Documentary Editing
Midwest Archives Conference
American Military Institute
National Association of Government Archives and Records Administrators
Society for Historians of the Early American Republic
Federation of Genealogical Societies
Oral History Association
Mid-Atlantic Regional Archives Conference
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New Jersey
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North Carolina
North Dakota
Ohio
Oklahoma
Pennsylvania
Texas
Utah
Vermont
Wisconsin

Statement of Page Putnam Miller

Director, National Coordinating Committee For the Promotion of History

U.S. House of Representatives, Subcommittee on Postsecondary Education of the Committee on Education and Labor and Insular Affairs

April 8, 1986

I am Page Putnam Miller, Director of the National Coordinating Committee for the Promotion of History, a consortium of over thirty-seven historical organizations.

Mr. Chairman, on behalf of the American Historical Association and the Organization of American Historians and the scholarly historical community in this country, I wish to express appreciation to you for being able to appear before this distinguished committee to express our views concerning the impact of recent Administration policy on scholarly research.

The five specific issues that I wish to address are: the Library of Congress budget cuts; the Office of Management and Budget Circulars A-76 and A-130; a White House Conference on Libraries; and a Government Printing Office letter to Members of Congress.

First, and perhaps the most crucial from the point of view of historical research, are the reductions in services and operational expenses of the Library of Congress. A reduction in the FY'86 budget combined with the Gramm-Rudman-Hollings cuts has meant that the Library of Congress is operating with $18.3 million less this year than last. This 8% decrease in the budget has had immediate effects on scholarly research. Of major concern are the reduced hours in which the general reading rooms are open to the public, decreasing from 77.5 to 54.5 hours per week. This poses difficulties both for visiting scholars with limited time, and for researchers in the Washington area with full-time jobs. This latter group is essentially cut off from library use, with the exception of Wednesday evenings.

The 13.3% cut in the acquisition budget is also a major concern to research historians. This poses particular problems in the area of journals. Past issues of journals are difficult to secure, and by stopping subscriptions, gaps in the Library's collection will result. The staff reductions in the Cataloging Division will also have a negative impact on scholarly research and will result in about 25,000 books remaining uncatalogued. This means there will be 25,000 books which researchers will be unable to locate and thus unable to use.

In short, the Library of Congress budget cuts are having devestating effects on scholarly research, entailing limited access to the Library, a decrease in acquisitions, and numerous materials left uncatalogued. Without an increase in budget for FY'87, this bastion of our country's knowledge is in serious danger of collapsing.

The second issue I wish to address, OMB Circular A-76, "Performance of Commercial Activities," also has detrimental effects on scholarly research. While the basic idea behind this Circular has merit--depending on the private sector to provide commercial services--there is a serious flaw in including libraries on the lists of commercial activities. Agency libraries play an inherent role in managing agency records and in maintaining the government's institutional memory. Federal libraries not only provide information services, but they are the repositories of a wide variety of agency materials from unpublished studies to policy statements and speeches by agency heads. If economic priorities rather than programmatic concerns were to govern the work of these facilities, the quality of the identification and collection of materials would be undermined. Libraries, which have always been operated as non-profit institutions, cannot be easily submitted to competitive bidding.

Another aspect of the Circular A-76 contracting process which concerns scholars is the inevitable loss of continuity of permanent professional library staff. Acquisition, organization, and indexing are complex procedures. The cataloging and reference staff must have a high degree of familiarity with subject content and systems to respond efficiently to a wide range of demands. Loss of experienced staff and failure to maintain continuity of professional staff with change of contractors would seriously handicap agency libraries.

In the last three years, there have been over 200 A-76 library actions which have resulted in a decline in the quality of federal library service. The scholarly community urges that libraries be removed from the list of contracting services.

A third issue I wish to address is OMB Circular A-130 - "Management of Federal Information Resources." Two aspects of this Circular will make it more difficult for researchers to gain access to important government information -- a decrease in government publications and an increased privatization of government information. A decrease in government publications means a corresponding decrease in the degree of research comprehensiveness. The problems which scholars anticipate with privatization are that only information with definite profit potential will be made available to the public. And the uncontrolled price for this information will undoubtedly be high. The December 23, 1985 Washington Post aptly summarzied the direct effects of OMB Circular A-130 : "it would likely reduce the number of printed government publications available in libraries or at low costs and increase the already widespread practice of private outfits interfacing government computers and providing printouts for users at hefty fees."

Fourth, Mr. Chairman, the historical and archival communities wish to go on record supporting a Congressional resolution calling for a second White House Conference on Library and Information Services. In 1979, a White House initiated Library Conference brought together over 3,600 participants to address pressing issues. Of the 64 resolutions formulated by the conference concerning library services, 55 have since been implemented. With rapid changes occurring in the information and publishing fields, there is a need for a second White House Conference on Library and Information Services to be held by 1989. Some of the issues facing libraries which need careful consideration are the rising costs of information materials, federal funding of libraries, and the conversion to automated systems. Such a conference is necessary to identify the problems of modern libraries, to identify user needs and thereby improve library and information services, and to raise public awareness of libraries. To provide additional means for improving and protecting one of this country's most valuable resources, its libraries, we support the Congressional Resolution calling for a Second White House Conference on Library and Information Services.

Finally, speaking as both a historian and as one concerned with the development of public policy, I am most disturbed by the recent Government Printing Office letter to members of Congress. This letter outlined certain changes to occur in the printing and distribution of Congressional publications, as a result of the Gramm-Rudman-Hollings sequestrations. The one item which most concerns me is the extensive reductions of copies of Congressional documents, bills, and reports which will be available to both Members and staff of Congress and to concerned citizens. Under this new system, I gather that I will be required to purchase items from the GPO bookstores. Since I work with 38 organizations, all having elected Presidents who live all over this country, I envision that many concerned scholars will have no access to government bookstores and that research of Congressional materials will be quite difficult. For those of us with access to GPO bookstores, staying informed on current public policy will henceforth involve the costs of purchasing necessary materials and may well mean a decrease in the amount of information available. Because the democratic process depends on easy access to information on proposed legislation and Congressional hearings, this restrictive publications policy merits reconsideration.

In closing I wish to thank you for the opportunity to discuss with you these current federal policies which effect scholarly research.

TESTIMONY OF PAGE MILLER, DIRECTOR, NATIONAL COORDINATING COMMITTEE FOR THE PROMOTION OF HISTORY, WASHINGTON, DC

Ms. MILLER. Thank you, Representative Owens. I am Page Miller, a historian and the Director of the National Coordinating Committee for the Promotion of History. I'm here today to speak on behalf of research historians.

I wish to make it clear that we historians very much rely on libraries. We value their services, and we consider them a great national resource, and we're happy to be here today to speak on behalf of libraries.

I'd like to direct my comments today specifically toward the issues that are of concern to research historians and to users of libraries.

First, and perhaps one of the most crucial concerns for historians today, are the cuts that are being imposed now on the Library of Congress. It would probably be fair to say that over 50 percent of all of the historians in this country have at sometime done research in the Library of Congress. We consider that the great treasury house of knowledge for this country, and we all flock here at sometime to do research.

Many historians come on just 1 or 2 weeks' leave from their campus to do research, and they depend on maximizing that 2-week period. So the fact that the hours have been reduced from 77 hours a week to 54 really cuts into the time that a research historian can use while on a short visit. But we are also concerned about the cuts in the acquisition budget, and particularly the purchasing of journals; because once you have a series and you eliminate some volumes from that, from the journals, it's very hard to play catch-up and go back and purchase these.

So what it will mean is that there will be some incomplete and real gaps in the collection. We are very worried about this, that this our sort of national library will have to experience this.

Then there's a concern not only for the Library of Congress but for all the libraries across the country that use the Library of Congress' cataloging services that the reduction in their staff in the Cataloging Division means that 25,000 books this coming year that should be cataloged will not be able to be cataloged. And scholars and researchers can only use books if they're able to find them and know about them and find them in the catalog: So in effect, it means that many books that should be available to scholars will not be available;

The second issue I wish to address is that of the OMB Circular A-76, Performance of Commercial Activities. I know, Representative Owens, you're well familiar with this and have spoken to this issue many times yourself. I just wish to emphasize that, as researchers, we very much value the continuity of professional librarians, and that agency libraries depend on having staff that are familiar with the collection and that can provide this ongoing indexing and acquisition and services, and that if these Federal agency libraries are to be contracted out, there will undoubtedly be turnover in personnel that will cut deeply into the quality of the service for researchers.

A third area I would like to address is OMB Circular A-130. This has been already dealt with this morning, so I will not repeat; but I just wish to say that, from the point of view of scholars, we anticipate that the privatization will only mean that information with a definite profit potential will be made available for the public. This is a matter of deep concern to us.

Fourth, I just want to be sure that the historical scholarly community is on record supporting House Joint Resolution 244 to provide additional means for improving and protecting one of this country's most valuable resources, its libraries. We support the congressional resolution calling for a second White House Conference on Libraries.

Finally, I guess I'm speaking to an issue which really has not been addressed this morning, but I'm speaking both as a historian and as one concerned with the development of public policy. I'm most disturbed by the recent Government Printing Office letter to Members of Congress which outlines certain changes to occur in the printing and distribution of congressional publications as a result of budget cut.

The one item that particularly concerns me is the extensive reductions of the copies of congressional documents, bills, and reports that will be made available to Members of Congress and also made available to the public. From what I understand, that I as well as many others will be required to purchase copies of bills and hearing reports from Government Printing Office bookstores.

Well, since I'm in Washington, at an additional cost this may be fairly easy for me to work out, but there are many scholars across the country with whom I work—I represent 37 organizations. All of these have elected presidents that live about the country. It will be hard for many of these people to have access to the Government bookstores.

Because the democratic process depends on easy access to information on proposed legislation and on congressional hearings, this restrictive publications policy certainly merits reconsideration.

In closing, I wish to thank you for this opportunity to bring before you the concerns of users. As I have been listening to the various witnesses today, I realize that I'm the only nonlibrarian testifying. So I hope that I can make a loud and clear statement for the users that the cuts are of serious concern to us.

Thank you.

Mr. **Owens**. Thank you very much. I want to thank all of the panelists for testimony which has pointed out specific problems. Because you represent particular areas of concern, particularly user interest, I think you have gotten to the heart of the matter with the kinds of examples which can be very impressive as we try to make arguments here on the Hill among our colleagues who have very little knowledge of these inner workings of libraries.

Your example, for instance, Dr. Miller, of the plight of a scholar who comes to Washington to use the Library of Congress for a limited period of time, those hours are very precious to them. I've heard many colleagues make comments about the closing of the Library of Congress, saying what difference does it make whether it's 55 hours a week or 70 hours a week. They don't see the kind of dilemma that you describe. That kind of example is very important.

I want to correct you, Dr. Miller, however. You're not the only nonlibrarian. Ms. Cooper, Barbara Cooper, is the chair of a citizens group that's spread throughout the country. It's been very effective. It was organized at the time of the last White House Conference on Libraries.

I am curious to ask, Dr. Miller, to what degree does your organization, or the vast array of organizations that are under your umbrella, work with libraries on an ongoing basis—library organizations on an ongoing basis? Are you in contact?

Ms. **Miller**. Our sort of networking in this area has greatly increased in the last 4 or 5 years, and I would say that I work very closely with the American Library Association and am aware of the issues with which they are dealing. So I think that this coalition that we are—is much broader now than it probably was a few years ago. I think we are all enriched by that.

Mr. **Owens**. Thank you. I also want to recognize my friend, colleague and constituent, Ms. Lucille Thomas, whose heart and soul are there in the New York City school libraries. While you talked about a recent bright spot in terms of new aid for school libraries, the picture that you painted as to what led to the State legislature appropriating $2 per child for school libraries is a dismal one indeed.

I wonder, however, if you know since you do have extensive knowledge of what's going on in the rest of the country, is the situation that bad with school libraries in other large cities? And to what degree is there any relief on the way? It's a very searing example, the one you give, quoting from that study which shows what a library is like if it was stopped in 1975, which is not so long ago. It's not like ancient history. But even if it was stopped in 1975, it's almost obsolete in many ways, in terms of utilization. That was a very graphic example.

I wonder, is the picture quite that bad across the country with respect to school libraries?

Ms. **Thomas**. Well, it seems that in urban areas school libraries suffer most: That's a generalization, of course. I don't have any statistics on it. In some States, of course, you have a different organization and much more support.

I know that North Carolina has a very strong school library media program, but I'm not able to give you any statistics on it. But I know that New York and Chicago, Los Angeles, most of those cities have been hit very hard.

It's ironical, because we have so many inner city youngsters who come from homes without the newspaper, without a magazine; and they are in school from 9 to 3. I think it's our responsibility to provide them an effective library media program.

I'm sorry that Mr. Gunderson had to leave, because I would like to discuss that problem with him, about the school library closing. He must remember that the school library is under the aegis of another administration; and, of course, they are concerned about safety and keeping the building warm in the winter or keeping it cool after 3 o'clock. There are many, many problems that are not controlled by the library community.

Mr. OWENS. Thank you. Ms. Woods, I must say, having dealt with a number of different budgets in various agencies, I can't imagine what you can do with $125,000. That pays your salaries and the heating bill. What else?

Ms. WOODS. A major portion of our budget does go for materials, not for staffing. You definitely don't want to go into the small library profession if you're planning to really move ahead in this world. Twenty-thousand dollars of our budget does go for book materials. Much of it goes for utilities just to keep the building itself, and we have no moneys for expansion and such.

So it is difficult. That's why——

Mr. OWENS. Well, your effectiveness as a modern library is really determined by the fact that you sit as part of a network and you draw on the resources of these other libraries.

Ms. WOODS. That's correct.

Mr. OWENS. You can provide a very good service because of that.

Ms. WOODS. Yes. That's correct.

Mr. OWENS. Thank you very much. Mr. Hayes.

Mr. HAYES. Thank you, Mr. Chairman. I just want to express my complete agreement with the assessment expressed by you of the kind of testimony that we've been the recipients of as a part of this subcommittee from the witnesses who have been here today.

I am really concerned, though, about what I consider to be almost an assault on our public education system, and libraries are a part of that system.

I think we're moving, unless we change the sense of direction in which we're going, into an area where education will only be available to those who are part of the real affluent in our society. To talk about privatization of libraries, which is the source of information for the disadvantaged, the underprivileged, poor, is a part of the same package, I think, that we are facing now even at the beginning level of schools when they talk about doing away with school lunch programs, when people in my district, many of these little kids don't eat until they get to school. It's difficult for them to learn.

To talk about the kid who is fortunate enough to finish high school and would like to go on, which is so necessary, to an institution of higher learning, to say that there's not going to be any money available for that purpose and prove it by your action with cuts and these kind of things, one can't help but feel that this is not by accident but by design. I think we can change it, but we ought to change it through our action and let people know that we're dissatisfied with our priorities as to how they are being established.

Education, to me, of our young is the best security that this great Nation of ours could ever have. Somewhere along the line, we've got to get that point over to people in positions of power to do something about it.

Thank you very much, Mr. Chairman.

Mr. OWENS. Thank you. I would again like to thank all of the panelists who have appeared today. I can't say exactly when the proceedings of this hearing would be available in print. Through the Gramm-Rudman, things have slowed down a bit, but it will be available in print at sometime in the future.

I also, without objection from any of the panelists who have appeared here, would like to quote you liberally in the special order that I will present tomorrow; and that, of course, immediately goes into the Congressional Record.

I think it's been a very fruitful morning, and I want to thank all those who appeared, as well as members of the audience.

The hearing is hereby adjourned.

[Whereupon, at 12:38 p.m., the subcommittee was adjourned.]

[Material submitted for inclusion in the record follows:]

99TH CONGRESS
1ST SESSION

H. J. RES. 244

To authorize and request the President to call a White House Conference on Library and Information Services to be held not later than 1989, and for other purposes.

IN THE HOUSE OF REPRESENTATIVES

APRIL 18, 1985

Mr. FORD of Michigan introduced the following joint resolution; which was referred to the Committee on Education and Labor

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JOINT RESOLUTION

To authorize and request the President to call a White House Conference on Library and Information Services to be held not later than 1989, and for other purposes.

Whereas access to information and ideas is indispensable to the development of human potential, the advancement of civilization, and the continuance of enlightened self-government;

Whereas the preservation and the dissemination of information and ideas are the primary purpose and function of the library and information services;

Whereas the economic vitality of the United States in a global economy and the productivity of the work force of the Nation rest on access to information in the postindustrial information age;

Whereas the White House Conference on Library and Information Services of 1979 began a process in which a broadly representative group of citizens made recommendations that have improved the library and information services of the Nation, and sparked the Nation's interest in the crucial role of library and information services at home and abroad;

Whereas library and information service is essential to a learning society;

Whereas social, demographic, and economic shifts of the past decade have intensified the rate of change and require that Americans of all age groups develop and sustain literacy and other lifelong learning habits;

Whereas expanding technological developments offer unprecedented opportunities for application to teaching and learning and to new means to provide access to library and information services;

Whereas the growth and augmentation of the Nation's library and information services are essential if all Americans, without regard to race, ethnic background, or geographic location are to have reasonable access to adequate information and lifelong learning;

Whereas the future of our society depends on developing the learning potential inherent in all children and youth, especially literary, reading, research, and retrieval skills;

Whereas rapidly developing technology offers a potential for enabling libraries and information services to serve the public more fully; and

Whereas emerging satellite communication networks and other technologies offer unparalleled opportunity for access to education opportunities to all parts of the world, and to individuals who are homebound, handicapped, or incarcerated: Now, therefore, be it

Resolved by the Senate and House of Representatives of the United States of America in Congress assembled,

PRESIDENT TO CALL CONFERENCE IN 1989

Section 1. The President is authorized to call a White House Conference on Library and Information Services to be held not later than 1989.

ESTABLISHMENT OF CONFERENCE

Sec. 2. (a) **Purpose.**—The purpose of the White House Conference on Library and Information Services shall be to develop recommendations for the further improvement of the library and information services of the Nation and their use by the public, in accordance with the findings set forth in the preamble to this joint resolution.

(b) **Composition.**—The Conference shall be composed of—

(1) representatives of professional library and information personnel and individuals who support or furnish volunteer services to libraries and information services centers, from all age groups and walks of life, and members of the general public;

(2) representatives of local, statewide, regional, and national institutions, agencies, organizations, and associations which provide library and information services to the public;

(3) representatives of educational institutions, agencies, organizations, and associations (including professional and scholarly associations for the advancement of education and research);

(4) individuals with special knowledge of, and special competence in, technology as it may be used for the improvement of library and information services; and

(5) representatives of Federal, State, and local governments.

(c) DISTRIBUTION OF PARTICIPANTS.—In carrying out subsection (a)—

(1) one-fourth of the participants shall be selected from the library and information profession,

(2) one-fourth of the participants shall be selected from among individuals who are currently active library and information supporters, including trustees and friends groups,

(3) one-fourth shall be selected from among individuals who are Federal, State, or local government officials, and

(4) one-fourth shall be selected from the general public.

(d) STATE PARTICIPATION REQUIRED.—State and territorial delegates and alternates to the national conference shall participate in the respective State or territorial conference.

ADMINISTRATIVE PROVISIONS

SEC. 3. (a) DIRECTION BY COMMISSION.—The Conference shall be planned and conducted under the direction of the National Commission on Libraries and Information Science.

(b) COMMISSION FUNCTIONS.—In carrying out this joint resolution, the Commission shall—

(1) when appropriate, request the cooperation and assistance of other Federal departments and agencies in order to carry out its responsibilities;

(2) make technical and financial assistance (by grant, contract, or otherwise) available to the States to enable them to organize and conduct conferences and other meetings in order to prepare for the Conference;

(3) prepare and make available background materials for the use of delegates to the Conference and associated State conferences, and prepare and distribute such reports of the Conference and associated State conferences as may be appropriate; and

(4) conduct fiscal oversight activities with respect to the preparation for and the convening of the Conference including contracting for the services of an audit firm.

(c) FEDERAL AGENCY COOPERATION AND ASSISTANCE.—(1) Each Federal department and agency, including the national libraries, shall cooperate with, and provide assistance to the Commission upon its request under clause (1) of subsection (b). For that purpose, each Federal department and agency is authorized and encouraged to provide personnel to the Commission.

(2) The Librarian of Congress, the Director of the National Library of Medicine, and the Director of the National Agricultural Library are authorized to detail personnel to the Commission, upon request, to enable the Commission to carry out its functions under this joint resolution.

(d) PERSONNEL.—In carrying out the provisions of this joint resolution, the Commission is authorized to engage such personnel as may be necessary to assist the Commission and the Advisory Committee, without regard for the provisions of title 5, United States Code, governing appointments in the competitive service, and without regard to chapter 51, and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates.

(e) EXPENSES.—Members of the Conference may, while away from their homes or regular places of business and attending the Conference, be allowed travel expenses, including per diem in lieu of subsistence, as may be allowed under section 5703 of title 5, United States Code, for persons serving without pay. Such expenses may be paid by way of advances, reimbursement, or in installments as the Commission may determine.

REPORTS

SEC. 4. (a) SUBMISSION TO PRESIDENT; TRANSMITTAL TO CONGRESS.—A final report of the Conference, containing such findings and recommendations as may be made by the Conference, shall be submitted to the President not later than 120 days following the close of the Conference. The final report shall be made public and, within 90 days after its receipt by the President, transmitted to the Congress together with a statement of the President containing the recommendations of the President with respect to such report.

(b) PUBLICATION AND DISTRIBUTION.—The Commission is authorized to publish and distribute for the Conference the reports authorized under this joint resolution. Copies of all such reports shall be provided to the depository libraries.

ADVISORY COMMITTEE

SEC. 5. (a) COMPOSITION.—There is established an advisory committee of the Conference composed of—

(1) eight individuals designated by the Chairman of the Commission;

(2) five individuals designated by the Speaker of the House of Representatives with not more than three being Members of the House of Representatives;

(3) five individuals designated by the President pro tempore of the Senate with not more than three being Members of the Senate;

(4) ten individuals appointed by the President;

(5) the Secretary of Education; and

(6) the Librarian of Congress.

The President, the President pro tempore of the Senate, the Speaker of the House of Representatives, and the Chairman of the Commission shall, after consultation, assure that members of the Advisory Committee are broadly representative of all areas of the United States.

(b) FUNCTION.—The advisory committee shall assist and advise the Commission in planning and conducting the Conference.

(c) ADMINISTRATION.—(1) The Chairman of the Commission shall serve as Vice Chairman of the Advisory Committee. The Advisory Committee shall elect the Chair of the Advisory Committee from among its members, who are not full-time Federal employees. The Advisory Committee shall select the Chair of the Conference.

(2) The Chairman of the Advisory Committee is authorized to establish, prescribe functions for, and appoint members to, such advisory and technical committees and staff as may be necessary to assist and advise the Conference in carrying out its functions.

(d) COMPENSATION.—Members of any committee established under this section who are not regular full-time officers or employees of the United States shall, while attending to the business of the Conference, be entitled to receive compensation therefor at a rate fixed by the President but not exceeding the rate of pay specified at the time of such service for grade GS-18 in section 5332 of title 5, United States Code, including traveltime. Such members, may, while away from their homes or regular places of business, be allowed travel expenses, including per diem in lieu of subsistence, as may be authorized under section 5703 of title 5, United States Code, for persons in the Government service employed intermittently.

GIFTS AND TITLE TO CERTAIN PROPERTY

SEC. 6. (a) GIFTS.—The Commission shall have authority to accept, on behalf of the Conference, in the name of the United States, grants, gifts, or bequests of money for immediate disbursement by the Commission in furtherance of the Conference. Such grants, gifts, or bequests offered the Commission, shall be paid by the donor or his representative into the Treasury of the United States, whose receipts shall enter such grants, gifts, and bequests in a special account to the credit of the Commission for the purposes of this joint resolution.

(b) REVERSION OF CERTAIN EQUIPMENT AND MATERIAL.—Materials and equipment acquired by the White

House Conference shall revert to the National Conference on Libraries and Information Science after the close of the White House Conference.

DEFINITIONS

SEC. 7. For the purpose of this joint resolution—

(1) the term "Commission" means the National Commission on Libraries and Information Science;

(2) The term "Conference" means White House Conference on Library and Information Services; and

(3) the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Trust Territory of the Pacific Islands, and American Indian Tribes.

AUTHORIZATION OF APPROPRIATIONS

SEC. 8. There are authorized to be appropriated without fiscal year limitations such sums as may be necessary to carry out this joint resolution. Such sums shall remain available for obligation until expended.

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OFFICE OF MANAGEMENT AND BUDGET

Management of Federal Information Resources

December 12, 1985.

AGENCY: Office of Management and Budget, Executive Office of the President.

ACTION: OMB Circular No. A–130; final publication.

SUMMARY: This Circular provides a general policy framework for management of Federal information resources. The Circular implements provisions of the Paperwork Reduction Act of 1980 as well as other statutes, Executive Orders, and policies concerning general information policy, information technology, privacy, and maintenance of Federal records. The Office of Management and Budget (OMB) published a draft Circular for public comment on March 15, 1985, and received comments and suggestions from the public. This Circular supersedes OMB Circular Nos. A–71, A–90, A–108, and A–121.

DATE: This Circular is effective December 12, 1985.

FOR FURTHER INFORMATION CONTACT: J. Timothy Sprehe, Office of Information and Regulatory Affairs, Room 3235 New Executive Office Building, Office of Management and Budget, Washington, D.C. 20503. Telephone: (202) 395–4814.

SUPPLEMENTARY INFORMATION: The Paperwork Reduction Act of 1980, Pub. L. 96–511, 94 Stat 2812, codified at Chapter 35 of Title 44 of the United States Code, establishes a broad mandate for agencies to perform their information activities in an efficient, effective, and economical manner. Section 3504 of the Act provides authority to the Director, Office of Management and Budget (OMB), to develop and implement uniform and consistent information resources management policies; oversee the development and promote the use of information management principles, standards, and guidelines; evaluate agency information management practices in order to determine their adequacy and efficiency; and determine compliance of such practices with the policies, principles, standards, and guidelines promulgated by the Director.

This Circular implements OMB authority under the Paperwork Reduction Act with respect to section 3504(b), general information policy, section 3504(e), records management, section 3504(f), privacy, and section 3504(g), Federal automatic data processing and telecommunications; the Privacy Act of 1974 (5 U.S.C. 552a); sections 111 and 254 of the Federal Property and Administrative Services Act of 1949, as amended (40 U.S.C. 759); the Budget and Accounting Act of 1921 (31 U.S.C. 1 et seq.); and Executive Order No. 12046 of March 27, 1978. The Circular complements 5 CFR Part 1320, Controlling Paperwork Burden on the Public, which implements other sections of the Paperwork Reduction Act dealing with controlling the reporting and recordkeeping burden placed on the public.

In addition, the Circular revises and consolidates policy and procedures in five existing OMB directives and rescinds these directives.

A–71—Responsibilities for the Administration and Management of Automatic Data Processing Activities
Transmittal Memorandum No. 1 to Circular No. A–71—Security of Federal Automated Information Systems
A–90—Cooperating with State and Local Governments to Coordinate and Improve Information Systems
A–108—Responsibilities for the Maintenance of Records about Individuals by Federal Agencies
A–121—Cost Accounting, Cost Recovery, and Interagency Sharing of Data Processing Facilities

Development of the Circular

On September 12, 1983, OMB published a Notice in the Federal Register, 48 FR 40964, announcing development of the OMB Circular on Federal information resources management and soliciting public comment. In response to this notice, OMB received comments from 14 Federal agencies and 39 members of the public. On March 15, 1985, OMB published its draft Circular on the Management of Federal Information Resources (50 FR 10734–10747), inviting the public to comment by May 14, 1985. OMB informally extended the public comment period in order to allow Federal agencies and the public more time to submit their views. By August 1985, OMB had received about 380 letters of comment; 52 percent of these were from the library and academic community, 28 percent were from other members of the public, and 20 percent from Federal agencies and Members of Congress.

Form of the Circular and Addition of Appendix IV

The draft Circular followed the form of a notice of proposed rulemaking, which is to say that the text of the proposed Circular was accompanied by Supplementary Information containing a lengthy analysis of key sections. The analysis explained the management context and philosophy behind the language of the draft Circular.

The Circular also follows the form of a notice of proposed rulemaking. Many who commented on the draft Circular requested that the explanatory contextual materials not be lost when the Circular was published in final form. OMB accepted this recommendation. Accordingly, in addition to the three appendices included in the draft Circular, OMB has added *Appendix IV, Analysis of Key Sections.* Appendix IV contains a revision and expansion of the analysis of key sections that accompanied the March 15 draft Circular.

This Supplementary Information section focuses on comments received to the March 15 draft Circular and the disposition OMB has made of the comments.

Additional Comment

Because of the perceived seriousness of deficiencies in the draft Circular of March 15, 1985, several commentators urged that OMB revise the draft, and issue the revision for another round of public comment. With the public notices of September 12, 1983, and March 15, 1985, OMB has twice sought public comment. After analyzing public comment on the March 15 draft and revising the Circular, OMB decided not to accept this recommendation. OMB believes that the Circular as now revised accommodates valid criticisms and objections, that adequate public comment has been sought, and sees little benefit and much delay in a third round of public comment.

Section-by-Section Analysis

Section 1. Purpose

OMB rejected a recommendation that the phrase "management of Federal information resources" be changed to "management and dissemination of Federal information resources" because the definitions of information resources management and government information already include dissemination within management.

Section 2. Authorities

OMB expanded the citation of the Federal Property and Administrative Services Act to include section 206 in order to reflect Federal telecommunication standards authorities. Executive Order No. 12472, Assignment of National Security and Emergency Preparedness

Telecommunications Functions, has been added to this section.

Section 4. Applicability and Scope

OMB revised this section to include a reference to national security and emergency preparedness telecommunications activities subject to Executive Order No. 12472. One commentator suggested that a general disclaimer be added here stating that the policies apply only where feasible, cost effective, and appropriate in the context of a particular activity. OMB rejected this suggestion because specific disclaimers are included in specific policies and because section 9a(1) assumes that heads of Federal agencies are responsible for managing their information resources in the context of particular activities and agency missions.

Another commentator suggested that the Circular address which guidance will be controlling in the event of inconsistency: the Circular on national security directives. OMB does not believe such inconsistencies exist until shown in specific instances; if they should exist, they should be resolved on an individual basis. Another commentator recommended that this section should make exception for the exclusions identified in the Warner Amendment in the Department of Defense Authorization Act of 1982. OMB believes these exclusions are appropriately treated in the contexts to which they apply, and notes that statute always takes precedence over policy guidance. For clarity, OMB added an explicit reference to this Department of Defense exclusion in the definition of information technology (Section 6h).

Section 6. Definitions

a. Agency. Although no one commented on the definition of "agency," OMB changed the definition because the previous wording was confusing and did not adequately convey that independent regulatory agencies are included within the meaning of the term.

b. Information. One commentator noted that the definition is broader than the definition of the same term in OMB's regulation, 5 CFR 1320. The breadth of the definition is due to the fact that the scope of the Circular is broader than the scope of the regulation. Another commentator believed there were major omissions in the definition, e.g., micrographics, printing and publishing, mail and distribution, libraries, voice communications, reprographics, audiovisual, and manual information systems. OMB believes these are information media, processes, or institutions, rather than information as such, and that the definition as formulated covers them.

c. Government Information. One commentator noted that the definition of "government information" does not include information that may be required to be maintained by a Federal agency, presumably as in Federal recordkeeping requirements imposed upon members of the public (e.g., individuals' tax records). OMB does not intend that such information should be considered government information, nor does the Circular extend to such information except as specifically provided (e.g., Appendix I, Section 3a(1)). Another commentator pointed out that the definition would include information maintained by the legislative and judicial branches of government. While it is true that the definition encompasses information held by the legislative and judicial branches, the Circular applies only to agencies of the executive branch as defined in Section 6a. Another recommended that the definition of government information be restricted only to information created or collected by the Federal Government, and not be extended to information processed, transmitted, disseminated, used, stored, and disposed of by the Federal Government. OMB rejected this recommendation because 44 U.S.C. 3504 clearly applies, for example, to information processing and records management.

Several commentators recommended that the definition should pertain to information "created . . . or disposed of by, *or on behalf of,* the Federal Government." (emphasis added) The intent of the recommendation was to make clear that the Circular's policies applied to all information under government control or sponsorship, irrespective of the information processing agent; that is, to include all information created, collected, processed, transmitted, disseminated, used, stored, or disposed of by government contractors or grantees.

OMB rejected the recommendation for several reasons. First, while agencies doubtless have the choice to treat information created or collected on their behalf as government information, OMB does not intend, except where explicitly stated, that policies in the Circular extend to persons or entities that create, collect, process, transmit, disseminate, use, store, or dispose of information on behalf of the government. Section 4 of the Circular states that the policies apply to executive agencies; Section 3a(1) of Appendix I is an explicit statement of application to Federal contracts. Second, existing and longstanding policy embodied in OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, permits grantees in such institutions to copyright information created or collected under Federal grants. The fact that such information may be copyrighted implies that the information is not government information, because the government may not copyright government information (17 U.S.C. 101 and 105). Third, the courts have held that requests to Federal agencies for release of information under the Freedom of Information Act do not always extend to those performing information activities under grant or contract to a Federal agency; hence, such information is not government information.

Several commentators recommended that government information be subdistinguished, with special definitions being formulated for, and special policy treatment given to, scientific and technical information, statistical information, or printed information. OMB did not accept the recommendation because the Circular is intended to implement the Paperwork Reduction Act, and the Act itself does not distinguish among various kinds of information.

f. and g. Access to Information and Dissemination of Information. The definitions of "access to information" and "dissemination of information," particularly when considered together with Section 8a on information management, drew more comment than any other definitions. Twenty-three persons commented on the definitions. Commentators specially objected to the phrase "upon their request" in the definition of access. They noted that the public may gain access to government information through Freedom of Information Act requests but argued that the Circular makes no provisions to ensure the public knows what information is available or how to obtain the information. They suggested that the tone of the definitions was narrow, negative, and restrictive, and the implications ran contrary to the proper role of government in providing information in a democratic society.

OMB believes that the definitions of access and dissemination, as found in the draft Circular, are sound. In OMB's view, the commentators' objections arose not out of the definitions themselves but out of the uses to which they were put in the draft Circular's policies and their explanation. Accordingly, OMB has made revisions to the policies and to the Analysis of Key Sections (Appendix IV), but has retained the definitions.

i. Information Technology Facility. Several persons pointed out the desirability of standardizing the definition of "information technology facility," as found in the Circular and Appendix II, with "information technology installation," as found in Appendix III. The two terms are retained because they apply to different contexts, and the relationship between the terms is explained in Appendix II, Section 2b.

k. Government Publication. A new term, "government publication," has been defined because a new policy statement pertains to government publications. The definition of the term is taken directly from statute (44 U.S.C. 1901).

Section 7. Basic Considerations and Assumptions

7a and 7b. These statements have been amended and broadened to reflect points raised in comments, namely, that the statements were too narrowly conceived.

Deleted statement. The draft Circular contained the statement: The value of government information to the government is solely a function of the degree to which the information contributes to achieving agencies' missions. Comments concerning this statement alleged that the statement underestimated the value of government information to the government, and failed to take account of other public needs, including those of State and local government, that are included in the value of information to the Federal Government. Because of other revisions to Section 7, OMB determined the statement was superfluous and deleted it.

7c. A new statement has been inserted in response to many comments that the draft Circular failed to address the positive aspects of government information. The statement incorporates three of the purposes of the Paperwork Reduction Act (44 U.S.C. 3501).

7d. Commentators on this statement objected to the application of cost-benefit analysis to government information activities. Many stated that the benefits of government information cannot be easily calculated and that such information holds more benefits than simply economic. Recalling that the statement is an assumption underlying policy, not itself a policy prescription, OMB notes that the statement does not preclude the existence of benefits other than economic (some of which are enumerated in statement 7b) nor does it necessarily presuppose that benefits can be easily calculated. The statement has been revised to incorporate by reference the purposes of the Paperwork Reduction Act cited in the preceding statement. Ensuring that benefits exceed costs, insofar as these are calculable, is a means to minimizing burden and costs and maximizing usefulness.

7e. Because many commentators misperceived the role accorded the private sector in the draft Circular, a new statement has been added that summarizes the existing policy found in OMB Circular No. A–76, Performance of Commercial Activities. The import of the new statement is simply that policy stated in Circular No. A–76 is and consistently has been assumed to apply to the management of Federal information resources.

7g. Several commentators believed that this statement (formerly statement 7f) did not sufficiently recognize the importance of public disclosure of government information. The statement has been revised to strengthen this point.

One commentary focused on the fact that this statement pertained to the management of Federal agency records rather than management of Federal information resources. Although the Freedom of Information Act and the Privacy Act pertain only to information in agency records, the statement has been broadened, as a basic assumption, to extend to all information resources. The statement is not limited, either by intention or implication, to paper documents, but may also include electronic records.

7h. The comments on this statement (formerly statement 7g) offered suggestions already provided for in statute or policy; for example, a distinction involving statistical uses of personal information. No changes were made to the statement.

7j and 7k. These statements (formerly statements 7h and 7j) were revised to incorporate language suggested by commentators.

Section 8. Policies

a. Information Management.

(1) and (2). Information Collection and Sharing. Many commentators believed that the formulation of 8a(1) in the draft Circular was too narrow and restrictive, that in fact the Circular would limit the collection of information by Federal agencies more than was intended by the Paperwork Reduction Act. Revised policy statement 8a(1) uses the expression "necessary for the proper performance of the functions of the agency," which is taken directly from the language of the Act (44 U.S.C. 3504 (c)(2)), and introduces a requirement for practical utility, also taken from same section of the Act. Some commentators believed the language should be couched in even broader terms, such as information needed by society or the general public. The intent of the Act, however, was to circumscribe, not to broaden, agency discretion to impose information collection and recordkeeping burdens on the public.

Commentators pointed out that many statutes condition the interagency or intergovernmental sharing of information by Federal agencies. Revised policy statement 8a(2) reflects the existence of such conditions. Many also commented on the phrase "or through commercial sources" in this statement. The revision qualifies this phrase and Appendix IV provides further explanatory analysis of the policy.

(3) through (6). Privacy Act and Freedom of Information Act. OMB revised statement 8a(3) to be consistent with statement 8a(1). Statements 8a(4)(b) and 8a(5) have been amended to eliminate ambiguity identified by commentators.

(8) through (12). Information Dissemination. Statements 8a(8) and 8a(9) in the draft Circular received more comments than any other sections. First, as regards the policy that dissemination be either required by law or essential to agency missions, commentators believed these criteria were too negative and restrictive, and failed to emphasize the positive value of government information dissemination and the obligation of the government to inform the citizenry. OMB reformulated both the Circular and the analysis in Appendix IV to emphasize the government's obligations to disseminate information, and to conform more closely to the language and intent of the Paperwork Reduction Act.

Second, commentators challenged the policy that agency information products or services should not duplicate similar products or services "that could reasonably be expected to be provided" by other agencies or the private sector "in the absence of agency dissemination." This policy was believed to be vague and impossible to apply. OMB acknowledges that "could reasonably be expected" is an inadequate formulation and has accordingly revised the policy. However, the general stricture against duplicating products or services that are or would otherwise be provided by other government or private sector organizations has been retained because the criterion of non-duplication for government information resources is clearly stated in the Act: if it is clear that an agency's dissemination would duplicate that of a private organization, the same considerations apply. The analysis in Appendix IV has been expanded to clarify the meaning of this policy.

Third, many commentators suggested that agencies provide adequate notice and opportunity for public comment before terminating information products and services. OMB believes this suggestion has merit as applied to any significant termination, and has incorporated the idea in the revised policy and Appendix IV. With respect to the non-duplication criterion, OMB added the provision that adequate notice should be provided before *initiating* new information products and services. This provision will allow other agencies and private sector interests to inform the initiating agency if a new product or service will duplicate their product or service, and hence satisfies the intent of the draft Circular's language. Further explanation of this policy is also found in Appendix IV.

Fourth, commentators questioned the language in the draft Circular's statement 8a(9)(a) requiring that agencies disseminate information products and services "in a manner that reasonably ensures the information will reach the members of the public the agency is responsible for reaching." OMB has slightly altered the language while providing a fuller explanation in Appendix IV.

Fifth, commentators challenged the language in the draft Circular's statement 8a(9)(b) that dissemination should be accomplished "in the manner most cost effective for the government, including placing maximum feasible reliance on the private sector . . ." OMB has retained this language, but added a reference to OMB Circular No. A–76 which provides the context for the policy and conditions that address most points raised by commentators. For example, OMB Circular No. A–76 distinguishes between functions that are inherently governmental in nature, and hence should be performed by government employees, and functions that are commercial in nature and may be performed by the private sector. Again, Appendix IV contains additional discussion of the role of the private sector in disseminating government information products and services.

Sixth, commentators criticized the reference to user charges in the draft Circular's statement 8a(9)(c). OMB has retained the draft Circular's language, because OMB Circular No. A–25 already takes account of objections raised. For example, some pointed out that the costs of assessing user charges can be greater than the revenues yielded from the charges; Circular No. A–25 provides for this contingency. Also, commentators failed to note that this policy statement requires user charges only for costs of dissemination of government information, not for creation, collection, processing, and transmission of the information. User charges also are more fully discussed in Appendix IV.

Seventh, in response to comments OMB added new language requiring that agencies establish procedures for ensuring compliance with 44 U.S.C. 1902 concerning Federal depository libraries. Many commentators referenced the Federal depository library program as an existing institutional mechanism for ensuring that much government information is disseminated to and actually reaches the general public. They believed the Circular should strengthen the depository library system. Because OMB agreed with the comments, and since the law provides that government publications be made available to the depository libraries, OMB accepted this recommendation; the Circular requires agencies to make government publications available to the depository library system, and Appendix IV elaborates this point.

b. Information Systems and Information Technology Management.

(1) through (3). One commentator recommended that these policies be expanded to include a requirement that agencies document a 10 percent return on information technology investments. OMB rejected this recommendation as being too specific for inclusion in a general policy statement.

(4) and (5). Several commentators recommended that these statements also include provision for cost effectiveness and meeting specific agency needs. OMB revised the policy to reflect this recommendation and also expanded on the point in Appendix IV.

(6) and (7). Commentators noted that the desirability of competition is sometimes conditioned by the fact that competitive processes unnecessarily slow down procurement of information technology, and that other requirements such as the need for compatibility, may legitimately limit competitive processes. OMB recognizes the validity of these points but believes they may be taken into account without altering the policy statements.

(8). Commentators pointed out that agencies have some legitimate needs for customized software, and that acquisition of off-the-shelf software carries its own risks, such as uncertainty over continued maintenance. OMB believes that these quite meritorious considerations do not invalidate the policy statement as it stands.

(9). Several commentators said that the term "interconnectivity" has specific and limited meaning in telecommunications, and that "necessary compatibility" would better convey the meaning intended. OMB revised the policy to reflect these comments and expanded on the point in Appendix IV.

(14). Commentators recommended that the background materials for this policy statement be strengthened to stress the positive values of standards and that national security directives be referenced. OMB revised Appendix IV to reflect this recommendation and the fact that the General Services Administration issues Federal Telecommunications Standards.

(15). Several agencies commented that what may be cost effective for individual program managers may not be cost effective for the agency as a whole and that the policy as drafted places the burden of proof on the agency rather than the program manager. OMB recognizes the potential conflict between agency and program cost effectiveness but believes the burden of proof belongs with the agency to demonstrate that its arrangements for information technology facilities and services are the most cost effective for agency programs.

One commentator recommended that agency information technology facilities be permitted to charge users market rates rather than cost recovery, because cost recovery will not be competitive with market rates. OMB's view is that, if cost recovery is not competitive with market rates, this is prima facie evidence that agency information technology facility arrangements are not cost effective, and that program managers should be freed from mandatory use of such arrangements.

(16). Agencies commented that cost recovery systems may be expensive and should not be required where there is no clear benefit to such systems. OMB recognizes this problem and has revised Appendix II, but not the policy statement, to cover this contingency.

Section 9. Assignment of Responsibilities

Some commentators on this section objected to a perceived concentration in OMB of decisionmaking power over Federal information resources, believing that the Circular places program decisions in OMB's hands. OMB notes first that the Paperwork Reduction Act requires the director of OMB to develop and implement Federal information policies, principles, standards, and guidelines (44 U.S.C. 3504). Second, the Circular states, and Appendix IV emphasizes, that program decisionmaking for Federal information resources belongs with the heads of agencies, operating within the policy framework set forth by OMB.

Several commentators recommended that this section include a statement concerning the Federal depository libraries. OMB believes the addition of statement 8a(12)(b) regarding the depository libraries covers this recommendation. Also, OMB did not accept a commentator's recommendation that certain responsibilities be assigned to Federal libraries; such libraries are subunits of agencies and the Circular assigns responsibilities only at the agency level.

Several commentators recommended that OMB assign responsibility for the Office of Personnel Management to develop and implement occupational and position standards for information resources managers. OMB does not believe management of Federal information resources requires establishing new job titles and series. Furthermore, such establishment would require legislation and could not be legally accomplished through an OMB Circular.

Several Federal agencies requested that various statements assigning responsibilities be revised to include reference to their statutory or regulatory responsibilities. OMB reviewed these requests and determined that revisions were unnecessary. The Circular presupposes the existence of, and compliance with, other applicable laws and regulations.

a(6). In response to comments OMB revised this statement more accurately to reflect agency responsibilities for Federal records management.

a(9). OMB inserted a reference to convey that the "senior official" is identical to the provision of 44 U.S.C. 3506(b).

b(1). At the suggestion of a commentator, OMB substituted "information resources management policy" for "information policy" because the latter term is not defined or used elsewhere in the Circular.

e(4). One commentator noted that assigning GSA responsibility for providing guidelines and regulations on the *use* of information technology contravenes the Brooks Act (40 U.S.C. 759(g)). OMB revised the statement to reflect this point.

h(12). OMB revised the statement in the same manner as statement 9b(1).

Appendix I

Several commentators expressed concern that promulgation of the appendix would rescind the OMB "Guidelines on Implementing the Privacy Act," and other suggested combining the appendix with all guidance OMB has issued on the Act. OMB did not intend to replace existing guidance with the appendix. The appendix replaces only the procedural requirements contained in OMB Circular No. A-108. All other guidance remains in force, and OMB has revised the appendix to make that clear. OMB declined to follow the suggestion that the appendix and other guidance be combined, because the purposes of each issuance are different.

Other commentators pointed out inconsistencies in the timing of various reviews required by the Circular's different appendices; suggested clarifying by examples what constitutes a "minor change to a system of records"; suggested changing the timing of the review of section (m) contracts to more frequently than every five years, since review is conducted on a random sample basis and should not prove overly burdensome; and suggested that the first triennial review of routine uses be commenced immediately upon issuance of the Circular. OMB revised the appendix to reflect these comments. OMB revised the appendix to reflect these comments. OMB added a requirement for an annual review of all systems notices; added certain data collection requirements for the annual report pursuant to section (p); and dropped a requirement for the Office of the Federal Register to provide OMB with a consolidated list of changes to agencies' systems of records.

Appendix II

Several commentators expressed concern about the cost effectiveness of requiring detailed accounting and chargeback for use of relatively small information technology facilities. OMB agreed with these comments. The intent of Appendix II is to encourage cost effective behavior in the management of Federal information technology resources. In revising the Appendix OMB raised the threshold so that the Appendix applies only to facilities having obligations in excess of $3 million per year.

A number of commentators pointed out that the Appendix does not allow facilities to justify resource requests based upon sharing, except in unusual circumstances. OMB revised the Appendix to clarify that this restriction is included because the normal practice is for users of a facility to include resource requests for the amount of technology use in their budget and appropriation requests.

Several commentators believed that requiring full costs to be recovered from all users within an agency would not be cost effective. OMB disagreed with this viewpoint and retained the draft Circular's formulation. Viable management of a large information technology facility requires that managers know the amount of resources devoted to each user when providing services. Furthermore, effective management of the use of information technology requires that the user have responsibility for and control over the resources consumed by use of the facility.

Finally, a number of commentators questioned the advisability of giving users of significant new applications primary responsibility for selecting which facility will support the applications. OMB disagreed and retained the draft Circular's formulation. When users are dependent on effective technology support to perform their function, control over selection of facility is essential and consistent with holding users responsible for producing their government information products.

Appendix III

Several commentators asked for clarification of the relationship between Appendix III and OMB Circular No. A-123. The Appendix itself relates certain of its requirements to requirements in Circular No. A-123 (e.g., annual reporting of security weaknesses as material weaknesses, and a separate assurance of the security of agency automated information systems in the annual internal control report required by Circular No. A-123). Beyond these specific requirements, application controls specified in the Appendix should be verified in vulnerability assessments and internal control reviews of the functional area supported by the application. Installation controls specified in the Appendix should be reviewed as one of the generic controls of an information technology unit itself.

Several commentators asked how the Circular relates to OMB Circular No. A-127, Financial Management Systems. The evaluation and reporting requirements for the systems integrity objective contained in OMB Circular No. A-127 may be met by fulfilling the evaluation and reporting requirements contained in Appendix III to this Circular and in OMB Circular No. A-123.

Several commentators also expressed confusion about the relation between Appendix III and security of national security information. OMB revised Appendix III to clarify that the Appendix provides a minimal set of requirements for the security of Federal automated information systems; required agencies to also incorporate additional requirements for security of information classified for national security purposes; and clarified central agency responsibilities related to national security information.

Several commentators suggested that Appendix III use the term "information technology facility" for consistency with the Circular and Appendix II. The term "information technology installation," as used in Appendix III, includes information technology facilities as well as small localized processing capabilities. OMB retained the term "information technology installation" in order to emphasize the importance of assuring adequate security of such smaller systems as well as of larger facilities. OMB expects that management processes for assuring a proper level of security at small installations will be less detailed and resource intensive than at larger facilities.

Several commentators expressed concern that personnel security responsibilities in the Appendix focused only on screening employees. They pointed out that other personnel activities, such as separation of duties and actions relating to employees leaving an agency, may be more cost effective security measures. OMB agreed with these comments and clarified the language concerning agency personnel programs so as not to limit agency personnel programs to employment screening of personnel, while still requiring employment screening as one tool in agency security programs.

Circular No. A–130

To the Heads of Executive Departments and Establishments

December 12, 1985.

Subject: Management of Federal Information Resources

1. *Purpose:* This Circular establishes policy for the management of Federal information resources. Procedural and analytic guidelines for implementing specific aspects of these policies are included as appendices.

2. *Rescissions:* This Circular rescinds OMB Circulars No. A–71, A–90, A–108, and A–121, and all Transmittal Memoranda to those circulars.

3. *Authorities:* This Circular is issued pursuant to the Paperwork Reduction Act of 1980 (44 U.S.C. 35); the Privacy Act of 1974 (5 U.S.C. 552a), sections 111 and 206 of the Federal Property and Administrative Services Act of 1949 as amended (40 U.S.C. 759 and 487, respectively), the Budget and Accounting Act of 1921 as amended (31 U.S.C. 11), Executive Order No. 12046 of March 27, 1978, and Executive Order No. 12472 of April 3, 1984.

4. *Applicability and Scope:*

a. The policies in this Circular apply to the information activities of all agencies of the executive branch of the Federal Government.

b. Information classified for national security purposes should also be handled in accordance with the appropriate national security directives. National security emergency preparedness activities should be conducted in accordance with Executive Order No. 12472.

5. *Background:* The Paperwork Reduction Act establishes a broad mandate for agencies to perform their information management activities in an efficient, effective, and economical manner. To assist agencies in an integrated approach to information resources management, the Act requires that the Director of the Office of Management and Budget (OMB) develop and implement uniform and consistent information resources management policies; oversee the development and promote the use of information management principles, standards, and guidelines; evaluate agency information management practices in order to determine their adequacy and efficiency; and determine compliance of such practices with the policies, principles, standards, and guidelines promulgated by the Director.

6. *Definitions:* As used in this Circular—

a. The term "agency" means any executive department, military department, government corporation, government controlled corporation, or other establishment in the executive branch of the government, or any independent regulatory agency. Within the Executive Office of the President, the term includes only the Office of Management and Budget and the Office of Administration.

b. The term "information" means any communication or reception of knowledge such as facts, data, or opinions, including numerical, graphic, or narrative forms, whether, oral or maintained in any medium, including computerized data bases, paper, microform, or magnetic tape.

c. The term "government information" means information created, collected, processed, transmitted, disseminated, used, stored, or disposed of by the Federal Government.

d. The term "information system" means the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

e. The term "major information system" means an information system that requires special continuing management attention because of its importance to an agency mission; its high development, operating or maintenance costs; or its significant impact on the administration of agency programs, finances, property, or other resources.

f. The term "access to information" refers to the function of providing to members of the public, upon their request, the government information to which they are entitled under law.

g. The term "dissemination of information" refers to the function of distributing government information to the public, whether through printed documents, or electronic or other media. "Dissemination of information" does not include intra-agency use of information, interagency sharing of information, or responding to requests for "access to information."

h. The term "information technology" means the hardware and software used in connection with government information, regardless of the technology involved, whether computers, telecommunications, micrographics, or others. For the purposes of this Circular, automatic data processing and telecommunications activities related to certain critical national security missions, as defined in 44 U.S.C. 3502(2) and 10 U.S.C. 2315, are excluded.

i. The term "information technology facility" means an organizationally defined set of personnel, hardware, software, and physical facilities, a primary function of which is the operation of information technology.

j. The term "information resources management" means the planning, budget, organizing, directing, training, and control associated with government information. The term encompasses both information itself and the related resources, such as personnel, equipment, funds, and technology.

k. The term "government publication" means informational matter which is published as an individual document at government expense, or as required by law.

Other definitions specific to the subjects of the appendices appear in the appendices.

7. Basic Considerations and Assumptions:

a. The Federal Government is the largest single producer, consumer, and disseminator of information in the United States. Because of the size of the government's information activities, the dependence of government information activities upon the public's cooperation, and the value of government information to the entire Nation, the management of Federal information resources is an issue of continuing importance to the public and to the government itself.

b. Government information is a valuable national resource. It provides citizens with knowledge of their government, society, and economy—past, present, and future; is a means to ensure the accountability of government; is vital to the healthy performance of the economy; is an essential tool for managing the government's operations; and is itself a commodity often with economic value in the marketplace.

c. The free flow of information from the government to its citizens and vice versa is essential to a democratic society. It is also essential that the government minimize the Federal paperwork burden on the public, minimize the cost of its information activities, the maximize the usefulness of government information.

d. In order to minimize the cost and maximize the usefulness of government information activities, the expected public and private benefits derived from government information, insofar as they are calculable, should exceed the public and private costs of the information.

e. Although certain functions are inherently governmental in nature, being so intimately related to the public interest as to mandate performance by Federal employees, the government should look first to private sources, where available, to provide the commercial goods and services needed by the government to act on the public's behalf, particularly when cost comparisons indicate that private performance will be the most economical.

f. The use of up-to-date information technology offers opportunities to improve the management of government programs, and access to, and dissemination of, government information.

g. Because the public disclosure of government information is essential to the operation of a democracy, the public's right to access to government information must be protected in the management of Federal information resources.

h. The individual's right to privacy must be protected in Federal Government information activities involving personal information.

i. The open and efficient exchange of government scientific and technical information, subject to applicable national security controls and proprietary rights others may have in such information, fosters excellence in scientific research and the effective use of Federal research and development funds.

j. The value of preserving government records is a function of the degree to which preservation protects the legal and financial rights of the government or its citizens, and provides an official record of Federal agency activities for agency management, public accountability, and historical purposes.

k. Federal Government information resources management policies and activities can affect, and be affected by, the information policies and activities of other nations.

8. Policies:

a. *Information Management.* Agencies shall:

(1) Create or collect only that informtion necessary for the proper performance of agency functions and that has practical utility, and only after planning for its processing, transmission, dissemination, use, storage, and disposition;

(2) Seek to satisfy new information needs through legally authorized interagency or intergovernmental sharing of information, or through commercial sources, where appropriate, before creating or collecting new information;

(3) Limit the collection of individually indentifiable information and proprietary information to that which is legally authorized and necessary for the proper performance of agency functions;

(4) Maintain and protect individually identifiable information and proprietary information in a manner that precludes:

(a) Unwarranted intrusion upon personal privacy (see Appendix I); and

(b) Violation of confidentiality;

(5) Provide individuals with access to and the ability to amend errors in, systems of records, consistent with the Privacy Act;

(6) Provide public access to government information, consistent with the Freedom of Information Act;

(7) Ensure that agency personnel are trained to safeguard information resources;

(8) Disseminate information, as required by law, describing agency organization, activities, programs, meetings, systems of records, and other information holdings, and how the public may gain access to agency information resources;

(9) Disseminate such information products and services as are:

(a) Specifically required by law, or

(b) Necessary for the proper performance of agency functions, provided that the latter do not duplicate similar products or services that are or would otherwise be provided by other government or private sector organizations;

(10) Disseminate significant new, or terminate significant existing, information products and services only after providing adequate notice to the public;

(11) Disseminate such government information products and services:

(a) In a manner that ensures that members of the public whom the agency has an obligation to reach have a reasonable ability to acquire the information;

(b) In the manner most cost effective for the government, including placing maximum feasible reliance on the private sector for the dissemination of the products or services in accordance with OMB Circular No. A–76; and

(c) So as to recover costs of disseminating the products or services through user charges, where appropriate, in accordance with OMB Circular No. A–25;

(12) Establish procedures for:

(a) Reviewing periodically the continued need for and manner of dissemination of the agency's information products or services; and

(b) Ensuring that government publications are made available to depository libraries as required by law.

b. *Information Systems and Information Technology Management.* Agencies shall:

(1) Establish multiyear strategic planning processes for acquiring and operating information technology that meet program and mission needs, reflect budget constraints, and form the bases for their budget requests;

(2) Establish systems of management control that document the requirements that each major information system is intended to serve; and provide for periodic review of those requirements over the life of the system in order to determine whether the requirements continue to exist and the system continues to meet the purposes for which it was developed;

(3) Make the official whose program an information system supports responsible and accountable for the products of that system;

(4) Meeting information processing needs through interagency sharing and from commercial sources, when it is cost effective, before acquiring new information processing capacity;

(5) Share available information processing capacity with other agencies to the extent practicable and legally permissible;

(6) Acquire information technology in a competitive manner that minimizes total life cycle costs;

(7) Ensure that existing and planned major information systems do not unnecessarily duplicate information systems available from other agencies or from the private sector;

(8) Acquire off-the-shelf software from commercial sources, unless the cost effectiveness of developing custom software is clear and has been documented;

(9) Acquire or develop information systems in a manner that facilitates necessary compatibility;

(10) Assure that information systems operate effectively and accurately;

(11) Establish a level of security for all agency information systems commensurate with the sensitivity of the information and the risk and magnitude of loss or harm that could result from improper operation of the information systems (See Appendix III);

(12) Assure that only authorized personnel have access to information systems;

(13) Plan to provide information systems with reasonable continuity of support should their normal operations be disrupted in an emergency;

(14) Use Federal Information Processing and Telecommunications Standards except where it can be demonstrated that the costs of using a standard exceed the benefits or the standard will impede the agency in accomplishing its mission;

(15) Not require program managers to use specific information technology facilities or services unless it is clear and is convincingly documented, subject to periodic review, that such use is the most cost effective method for meeting program requirements;

(16) Account for the full costs of operating information technology facilities and recover such costs from government users as provided in Appendix II;

(17) Not prescribe Federal information system requirements that unduly restrict the prerogatives of heads of State and local government units;

(18) Seek opportunities to improve the operation of government programs or to realize savings for the government and the public through the application of up-to-date information technology to government information activities.

9. *Assignment of Responsibilities:*

a. *All Federal Agencies.* The head of each agency shall:

(1) Have primary responsibility for managing agency information resources;

(2) Ensure that the information policies, principles, standards, guidelines, rules, and regulations prescribed by OMB are implemented appropriately within the agency;

(3) Develop internal agency information policies and procedures and oversee, evaluate, and otherwise periodically review agency information resources management activities for conformity with the policies set forth in this Circular;

(4) Develop agency policies and procedures that provide for timely acquisition of required information technology;

(5) Maintain an inventory of the agencies' major information systems and information dissemination programs;

(6) Create, maintain, and dispose of a record of agency activities in accordance with the Federal Records Act of 1950, as amended;

(7) Identify to the Director, OMB statutory, regulatory, and other impediments to efficient management of Federal information resources and recommend to the Director legislation, policies, procedures, and other guidance to improve such management;

(8) Assist OMB in the performance of its functions under the Paperwork Reduction Act, including making services, personnel, and facilities available to OMB for this purpose to the extent practicable;

(9) Appoint a senior official, as required by 44 U.S.C. 3506(b), who shall report directly to the agency head, to carry out the responsibilities of the agency under the Paperwork Reduction Act. The head of the agency shall keep the Director, OMB, advised as to the name, title, authority, responsibilities, and organizational resources of the senior official. For purposes of this paragraph military departments and the Office of the Secretary of Defense may each appoint one official.

b. *Department of State.* The Secretary of State shall:

(1) Advise the Director, OMB, on the development of United States positions and policies on international information policy issues affecting Federal Government information activities and ensure that such positions and policies are consistent with Federal information resources management policy;

(2) Ensure, in consultation with the Secretary of Commerce, that the United States is represented in the development of international information technology standards, and advise the Director, OMB, of such activities.

c. *Department of Commerce.* The Secretary of Commerce shall:

(1) Develop and issue Federal Information Processing Standards and guidelines necessary to ensure the efficient and effective acquisition, management, security, and use of information technology;

(2) Advise the Director, OMB, on the development of policies relating to the procurement and management of Federal telecommunications resources;

(3) Provide OMB and the agencies with scientific and technical advisory services relating to the development and use of information technology;

(4) Conduct studies and evaluations concerning telecommunications technology, and concerning the improvement, expansion, testing, operation, and use of Federal telecommunications systems and advise the Director, OMB, and appropriate agencies of the recommendations that result from such studies;

(5) Develop, in consultation with the Secretary of State and the Director, OMB, plans, policies, and programs relating to international telecommunications issues affecting government information activities;

(6) Identify needs for standardization of telecommunications and information processing technology, and develop standards, in consultation with the Secretary of Defense and the Administrator of General Services, to ensure efficient application of such technology;

(7) Ensure that the Federal Government is represented in the development of national and, in consultation with the Secretary of State, international information technology standards, and advise the Director, OMB, of such activities.

d. *Department of Defense.* The Secretary of Defense shall develop, in consultation with the Administrator of General Services, uniform Federal telecommunications standards and guidelines to ensure national security, emergency preparedness, and continuity of government.

e. *General Services Administration.* The Administrator of General Services shall:

(1) Advise the Director, OMB, and agency heads on matters affecting the procurement of information technology;

(2) Coordinate and, when required, provide for the purchase, lease, and

maintenance of information technology required by Federal agencies;

(3) Develop criteria for timely procurement of information technology and delegate procurement authority to agencies that comply with the criteria;

(4) Provide guidelines and regulations for Federal agencies, as authorized by law, on the acquisition, maintenance, and disposition of information technology;

(5) Develop policies and guidelines that facilitate the sharing of information technology among agencies as required by this Circular;

(6) Review agencies' information resources management activities to meet the objectives of the triennial reviews required by the Paperwork Reduction Act and report the results to the Director, OMB;

(7) Manage the Automatic Data Processing Fund and the Federal Telecommunications Fund in accordance with the Federal Property and Administrative Services Act, as amended;

(8) Establish procedures for approval, implementation, and dissemination of Federal telecommunications standards and guidelines and for implementation of Federal Information Processing Standards.

f. *Office of Personnel Management.* The Director, Office of Personnel Management, shall:

(1) Develop and conduct training programs for Federal personnel on information resources management, including end user computing;

(2) Evaluate periodically future personnel management and staffing requirements for Federal information resources management;

(3) Establish personnel security policies and develop training programs for Federal personnel associated with the design, operation, or maintenance of information systems.

g. *National Archives and Records Administration.* The Archivist of the United States shall:

(1) Administer the Federal records management program in accordance with the National Archives and Records Act;

(2) Assist the Director, OMB, in developing standards and guidelines relating to the records management program.

h. *Office of Management and Budget.* The Director of the Office of Management and Budget shall:

(1) Provide overall leadership and coordination of Federal information resources management within the executive branch;

(2) Serve as the President's principal adviser on procurement and management of Federal telecommunications systems, and develop and establish policies for procurement and management of such systems;

(3) Issue policies, procedures, and guidelines to assist agencies in achieving integrated, effective, and efficient information resources management;

(4) Initiate and review proposals for changes in legislation, regulations, and agency procedures to improve Federal information resources management;

(5) Review and approve or disapprove agency proposals for collection of information from the public, as defined in 5 CFR 1320.7;

(6) Develop and publish annually, in consultation with the Administrator of General Services, a five-year plan for meeting the information technology needs of the Federal government;

(7) Evaluate agencies' information resources management and identify cross-cutting information policy issues through the review of agency information programs, information collection budgets, information technology acquisition plans, fiscal budgets, and by other means;

(8) Provide policy oversight for the Federal records management function conducted by the National Archives and Records Administration and coordinate records management policies and programs with other information activities;

(9) Review, with the advice and assistance of the Administrator of General Services, selected agencies' information resources management activities to meet the objectives of the triennial reviews required by the Paperwork Reduction Act;

(10) Review agencies' policies, practices, and programs pertaining to the security, protection, sharing, and disclosure of information, in order to ensure compliance with the Privacy Act and related statutes;

(11) Resolve information technology procurement disputes between agencies and the General Services Administration pursuant to Section 111 of the Federal Property and Administrative Services Act;

(12) Review proposed U.S. government position and policy statements on international issues affecting Federal Government information activities and advise the Secretary of State as to their consistency with Federal information resources management policy.

10. *Oversight.* the Director, OMB, will use information technology planning reviews, fiscal budget reviews, information collection budget reviews, management reviews, GSA reviews of agency information resources management activities, and such other measures as he deems necessary to evaluate the adequacy and efficiency of each agency's information resources management and compliance with this Circular.

11. *Effective Date.* This Circular is effective upon publication (December 12, 1985).

12. *Inquiries.* All questions or inquiries should be addressed to Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503. Telephone: (202) 395–3287.

13. *Sunset Review Date.* This Circular shall have an independent policy review to ascertain its effectiveness three years from the date of issuance.

James C. Miller III,
Director.

Appendix I: Federal Agency Responsibilities for Maintaining Records about Individuals
Appendix II: Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities
Appendix III: Security of Federal Automated Information Systems
Appendix IV: Analysis of Key Sections

Darrell A. Johnson,
Assistant Director for Administration.

Appendix I to OMB Circular No. A-130—Federal Agency Responsibilities for Maintaining Records About Individuals

1. *Purpose and Scope.*

This Appendix describes agency responsibilities for implementing the Privacy Act of 1974, 5 U.S.C. 552a as amended (hereinafter "the Act"). It applies to all agencies subject to the Act. The Appendix constitutes a revision to procedures formerly contained in OMB Circular No. A–108, now rescinded. Note that this Appendix does *not* rescind other guidance OMB has issued to help agencies interpret the Privacy Act's provisions, e.g., Privacy Act Guidelines (40 FR 28948–28978, July 9, 1975), or Guidance for Conducting Matching Programs (47 FR 21656–21658, May 19, 1982).

2. *Definitions.*

a. The terms "agency," "individual," "maintain," "record," "system of records," and "routine use," as used in this Appendix, are defined in the Act (5 U.S.C. 552a(a)). The definition of "agency" in the Act differs somewhat from the definition in the Circular.

b. The term "minor change to a system of records" means a change that does not significantly change the system; that is, does not affect the character or purpose of the system and does not affect the ability of an individual to gain access to his or her record or to any information pertaining to him or her which is contained in the system; e.g., changing the title of the system manager.

3. *Assignment of Responsibilities.*

a. *All Federal Agencies.* In addition to meeting the agency requirements contained in the Act, and the specific reporting requirements detailed in this Appendix, the head of each agency shall ensure that the following reviews are conducted as often as specified below, and be prepared to report to the Director, OMB, the results of such reviews and the corrective action taken to resolve problems uncovered. The head of each agency shall:

(1) *Section (m) Contracts.* Review every two years a random sample of agency contracts that provide for the maintenance of a system of records on behalf of the agency to accomplish an agency function, in order to ensure that the wording of each contract makes the provisions of the Act apply. (5 U.S.C. 552a(m)(1))

(2) *Recordkeeping Practices.* Review annually agency recordkeeping and disposal policies and practices in order to assure compliance with the Act.

(3) *Routine Use Disclosures.* Review every three years the routine use disclosures associated with each system of records in order to ensure that the recipient's use of such records continues to be compatible with the purpose for which the disclosing agency originally collected the information. The first such review should commence immediately upon the issuance of this Appendix.

(4) *Exemption of Systems of Records.* Review every three years each system of records for which the agency has promulgated exemption rules pursuant to Section (j) or (k) of the Privacy Act in order to determine whether such exemption is still needed.

(5) *Matching Programs.* Review annually each ongoing matching program in which the agency has participated during the year, either as a source or as a matching agency, in order to ensure that the requirements of the Act, the OMB Matching Guidelines, and the OMB Model Control System and Checklist have been met.

(6) *Privacy Act Training.* Review annually agency training practices in order to ensure that all agency personnel are familiar with the requirements of the Act, with the agency's implementing regulation, and with any special requirements that their specific jobs entail.

(7) *Violations.* Review annually the actions of agency personnel that have resulted either in the agency being found civilly liable under Section (g) of the Act, or an employee being found criminally liable under the provisions of Section (i) of the Act, in order to determine the extent of the problem and to find the most effective way to prevent recurrences of the problem.

(8) *Systems of Records Notices.* Review annually each system of records notice to ensure that it accurately describes the system. Where minor changes are needed, ensure that an amended notice is published in the **Federal Register**. Agencies may choose to make one annual comprehensive publication consolidating such minor changes. This requirement is distinguished from and in addition to the requirement to report to OMB and the Congress major changes to systems of records and to publish those changes in the **Federal Register** (see paragraph 4b of this Appendix).

b. *Department of Commerce.* The Secretary of Commerce shall, consistent with guidelines issued by the Director, OMB, develop and issue standards and guidelines for assuring the security of information protected by the Privacy Act in automated information systems.

c. *General Services Administration.* The Administrator of General Services shall, consistent with guidelines issued by the Director, OMB, issue instructions on what agencies must do in order to comply with the requirements of Section (m) of the Act when contracting for the operation of a system of records to accomplish an agency purpose.

d. *Office of Personnel Management.* The Director of the Office of Personnel Management shall, consistent with guidelines issued by the Director, OMB:

(1) Develop and maintain government-wide standards and procedures for civilian personnel information processing and recordkeeping directives to assure conformance with the Act.

(2) Develop and conduct training programs for agency personnel, including both the conduct of courses in various substantive areas (e.g., legal, administrative, information technology) and the development of materials that agencies can use in their own courses. The assignment of this responsibility to OPM does not affect the responsibility of individual agency heads for developing and conducting training programs tailored to the specific needs of their own personnel.

e. *National Archives and Records Administration.* The Archivist of the United States shall, consistent with guidelines issued by the Director, OMB:

(1) Issue instructions on the format of the Agency notices and rules required to be published under the Act.

(2) Compile and publish annually the rules promulgated under 5 U.S.C. 552a(f) and agency notices published under 5 U.S.C. 552a(e)(4) in a form available to the public.

(3) Issue procedures governing the transfer or records to Federal Records Centers for storage, processing, and servicing pursuant to 44 U.S.C. 3103. For purposes of the Act, such records are considered to be maintained by the agency that deposited them. The Archivist may disclose deposited records only according to the access rules established by the agency that deposited them.

f. *Office of Management and Budget.* The Director of the Office of Management and Budget will:

(1) Issue guidelines and directives to the agencies to implement the Act.

(2) Assist the agencies, at their request, in implementing their Privacy Act programs.

(3) Review the new and altered system reports agencies submit pursuant to Section (o) of the Act.

(4) Compile the annual report of the President to the Congress in accordance with Section (p) of the Act.

4. *Reporting Requirements.*

a. *Privacy Act Annual Reports.* To provide the necessary information for the annual report of the President, agencies shall submit a Privacy Act Annual Report to the Director, OMB, covering their Privacy Act activities for the calendar year. The exact format and timing of the report will be established by the Director, OMB. (5 U.S.C. 552a(p)); but, agencies should, at a minimum collect, and be prepared to report the following data on a calendar year basis:

(1) Total number of active systems of records and changes to that population during the year, e.g., publications of new systems, additions and deletions of routine uses, exemptions, automation of record systems.

(2) Public comments received on agency publications and implementation activities.

(3) Number of requests from individuals for access to records about themselves in systems of records *that cited the Privacy Act in support of their requests.*

(4) Number granted in whole or part, denied in whole, and for which no record was found.

(5) Number of amendment requests from individuals to amend records about them in systems of records *that cited the Privacy Act in support of their requests.*

(6) Number granted in whole or part, denied in whole, and for which no record was found.

(7) Number of appeals of access and amendment denials and the results of such appeals.

(8) Number of instances in which individuals litigated the results of appeals of access or amendment, and the results of such litigation.

(9) Number and description of matching programs participated in either as source or matching agency.

b. *New and Altered System Reports.* The Act requires agencies to publish notices in the **Federal Register** describing new or altered systems of records, and to submit reports on these systems to the Director, OMB, and to the Congress.

(1) *Altered System of Records.* Minor changes to systems of records need not be reported. For example, a change in the designation of the system manager due to a reorganization would not require a report, so long as an individual's ability to gain access to his or her records is not affected. Other examples include changing applicable safeguards as a result of a risk analysis, deleting a routine use when there is no longer a need for the authorized disclosure. These examples are not intended to be all-inclusive.

The following changes are those for which a report is required:

(a) An increase or change in the number or types of individuals on whom records are maintained. For example, a decision to expand a system that originally covered only residents of public housing in major cities to cover such residents nationwide would require a report. Increases attributable to normal growth should not be reported.

(b) A change that expands the types or categories of information maintained. For example, a personnel file that has been expanded to include medical records would require a report.

(c) A change that alters the purpose for which the information is used.

(d) A change to equipment configuration (either hardware or software) that creates substantially greater access to the records in the system. For example, locating interactive terminals at regional offices for accessing a system formerly accessible only at the headquarters would require a report.

(e) The addition of an exemption (pursuant to Section (j) or (k) of the Act). Note that, in submitting a rulemaking for an exemption as part of a report of a new or altered system, agencies will meet the reporting requirements of Executive Order No. 12291 and need not make a seperate submission under that order.

When an agency makes a change to an information technology installation, telecommunication network, or any other general changes in information collection, processing, dissemination, or storage that affect multiple systems of records, it may submit a single consolidated new or altered system report, with changes to existing notices and supporting documentation included in the submission.

(2) *Contents of the Repoet.* The report for a new or altered system has three elements: a transmittal letter, a narrative statement, and supporting documentation that includes a copy of the proposed **Federal Register** notice. There is no prescribed format for either the letter or the narrative statement. The notice must appear in the format prescribed by the Office of the Federal Register's *Document Drafting Handbook.*

(a) *Transmittal Letter.* The transmittal letter shoud be signed by the senior agency official responsible for implementation of the Act within the agency and should contain the name and telephone number of the individual who can best answer questions about the system. The letter should contain the agency's assurance that the proposed system does not duplicate any existing agency systems. It should also state that a copy of the report has been distributed to the Speaker of the House and the President of the Senate as the Act requires. The letter may also include requests for waiver of the reporting time period.

(b) *Narrative Statement.* The narrative statement should be brief. It should make reference, as appropriate, to information in the supporting documentation rather than restating such information. The statement should:

(*1*) Describe the purpose for which the agency is establishing the system of records.

(*2*) Identify the authority under which the system is maintained. The agency should avoid citing housekeeping statutes, but rather cite the underlying programmatic authority for collecting, maintaining, and using the information. When the system is being operated to support an agency housekeeping program, e.g., a carpool locator, the agency may, however, cite a general housekeeping statute that authorizes the agency head to keep such records as are necessary.

(*3*) Provide the agency's evaluation of the probable or potential effects of the proposal on the privacy of individuals.

(*4*) Describe the relationship of the proposal, if any, to the other branches of the Federal Government and to State and local governments.

(*5*) Provide a brief description of the steps taken by the agency to minimize the risk of unauthorized access to the system of records. A more detailed assessment of the risks and specific administrative, technical, procedural, and physical safeguards established shall be made available to OMB upon request.

(*6*) Explain how each proposed routine use satisfies the compatibility requirement of subsection (a)(7) of the Act. For altered systems, this requirement pertains only to any newly proposed routine uses.

(*7*) Provide OMB control numbers, expiration dates, and titles of any OMB approved information collection requirements contained in the system of records. If the request for OMB clearance of an information collection is pending, the agency may simply state the title of the collection and the date it was submitted for OMB clearance.

(c) *Supporting Documentation.* Attach the following to all new or altered system reports:

(*1*) An advance copy of the new or altered system notice (consistent with the provisions of 5 U.S.C. 552a(e)(4)) that the agency proposes to publish for the new or altered system. For proposed altered systems the documentation should be in the same form as the agency proposes to publish in the public notice.

(*2*) An advance copy of any new rules or changes to published rules (consistent with the provision of 5 U.S.C. 552a (f), (j), and (k)) that the agency proposes to issue for the new or altered system. If no changes to existing rules are required, the agency shall so state in the narrative portion of the report. Proposed changes to existing rules shall be provided in the same form as the agency proposes to publish for formal notice and comment.

(3) *Timing and Distribution for Submitting New and Altered System Reports.* Submit reports on new and altered systems of records not later than 60 days prior to establishment of a new system or the implementation of an altered system (5 U.S.C. 552a(o)). Submit three copies of each report to:

President of the Senate, Washington, D.C. 20510

Speaker of the House of Representatives, Washington, D.C. 20515

Administrator, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

Agencies may assume that OMB concurs in Privacy Act aspects of their proposal if OMB has not commented within 60 days from the date the transmittal letter was signed. Agencies may publish system and routine use notices as well as exemption rules in the **Federal Register** at the same time that they send the new or altered system report to OMB and the Congress. The 60-day period for OMB and Congressional review and the 30-day notice and comment period for routine uses and exemptions will then run concurrently.

(4) *Waivers of Report Time Period.* The Director, OMB, may grant a waiver of the 60-day period if the agency asks for the waiver and can demonstrate compelling reasons. Agencies may assume that OMB concurs in their request if OMB has not commented within 30 days of the date the transmittal letter was signed. When a waiver is granted, the agency is not thereby relieved of any other responsibility or liability under the Act. Note that OMB cannot waive time periods specifically established by the Act. Agencies will still have to meet the statutory notice and comment periods required for establishing a routine use or claiming an exemption.

Appendix II to OMB Circular No. A-130—Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities

1. *Purpose.*

This Appendix establishes procedures for cost accounting, cost recovery, and interagency sharing of Federal information technology facilities. The Appendix revises procedures formerly contained in OMB Circular No. A-121, now rescinded.

2. *Applicability.*

This Appendix applies to all information technology facilities that are operated by or on behalf of a Federal agency; provide information technology service to more than one user; operate one or more general management computers; and have obligations in excess of $3 million per year.

3. *Definitions.*

a. The term "information technology facility" means an organizationally defined set of personnel, hardware, software, and physical facilities, a primary function of which is the operation of information technology. An information technology facility includes:

(1) The personnel who operate computers or telecommunications systems; develop or maintain software; provide user liaison and training; schedule computers, prepare and control input data; control, reproduce, and distribute output data; maintain tape and disk libraries; provide security, maintenance, and custodial services; and directly manage or provide direct administrative support to personnel engaged in these activities.

(2) The owned or leased computer and telecommunications hardware, including central processing units; associated peripheral equipment such as disk drives, tape drives, drum storage, printers, card readers, and consoles; data entry equipment; data reproduction, decollation, booking, and binding equipment; telecommunications equipment including control units, terminals, modems, and dedicated telephone and satellite links provided by the facility to enable data transfer and access to users. Hardware acquired and maintained by users of the facility is excluded.

(3) The software, including operating system software, utilities, sorts, language processors, access methods, data base processors, and other similar multi-user software required by the facility for support of the facility and/or for general use by users of the facility. All software acquired or maintained by users of the facility is excluded.

(4) The physical facilities, including computer rooms; tape and disk libraries; stockrooms and warehouse space; office space; physical fixtures.

b. The term "full costs" means all significant expenses incurred in the operation of an information technology facility. The following elements are included:

(1) Personnel, including salaries, overtime, and fringe benefits of civilian and military personnel; training; and travel.

(2) Equipment, including depreciation for owned, capitalized equipment; equipment rental or lease; and direct expenses for noncapitalized equipment.

(3) Software, including depreciation for capitalized costs of developing, converting, or acquiring software; rental of for software; and direct expenses for noncapitalized acquisition of software.

(4) Supplies, including office supplies; data processing materials; and miscellaneous expenses.

(5) Contracted services, including technical and consulting services; equipment maintenance; data entry support; operations support; facilities management; maintenance of software; and telecommunications network services.

(6) Space occupancy, including rental and lease of buildings, general office furniture, and equipment; building maintenance; heating, air conditioning and other utilities; telephone services; power conditioning and distribution equipment and alternate power sources; and building security and custodial services.

(7) Intra-agency services, including normal agency support services that are paid by the installation.

(8) Interagency services, including services provided by other agencies and departments that are paid by the installation.

c. The term "user" means an organizational or programmatic entity that receives service from an information technology facility. A user may be either internal or external to the agency organization responsible for the facility, but normally does not report either to the manager or director of the facility or to the same immediate supervisor.

d. The term "general management computer" means a digital computer that is used for any purpose other than as a part of a process control system, space system, mobile system, or a system meeting one of the exclusions identified in the Department of Defense Authorization Act of 1982.

4. *Accounting and Reimbursement for Sharing of Information Technology Facilities.*

a. *Interagency Sharing.* Agencies shall:

(1) Share their information technology facilities with users from other agencies to the maximum extent feasible;

(2) Document sharing arrangements, where the total annual reimbursement exceeds $500,000, with individual written agreements that identify:

(a) Services available for sharing;

(b) Service priority procedures and terms (e.g., quality performance standards) to be provided to each user;

(c) Prices to be charged for providing services;

(d) Reimbursement arrangements for services provided; and

(e) Arrangements for terminating the sharing agreement;

(3) Provide standard terms and conditions to users obtaining similar services insofar as possible;

(4) Include such sharing arrangements, when fully documented and part of a formal sharing program, in justifications to OMB for resource requests (see OMB Circular No. A-11, revised) and allocations. Direct funding by a shared facility should be requested only where exceptional circumstances preclude the user agency from using alternative sources.

b. *Cost Accounting.* Agencies shall account for the full cost of the operation of information technology facilities.

c. *User Cost Distribution System.* Agencies shall implement a system to distribute the full cost of providing services to all users. That system will

(1) Be consistent with guidance provided in the Federal Information Processing Standards Publication No. 96, "Guidelines for Developing and Implementing a Charging System for Data Processing Services" (National Bureau of Standards, Department of Commerce, 1982).

(2) Price each service provided by the facility to the users of that service on an equitable basis commensurate with the amount of resources required to provide that service and the priority of service provided. The price of individual transactions may be estimated provided that they are periodically reconciled to assure that the full costs of operations are equitably distributed among all users.

(3) Directly distribute to the recipient of the services the full costs of dedicated services, including applications developed and maintained; software unique to a single application; and telecommunications equipment, including control units, terminals, modems, and dedicated telephone or satellite links provided by the facility to enable data transfer and computer access to users.

d. *Cost Recovery.* Consistent with statutory authority, agencies shall:

(1) Submit periodic statements to all users of agency information technology facilities specifying the costs of services provided;

(2) Recover full costs from Federal users of the facility; and

(3) Recover costs from nonfederal users of the facilities consistent with OMB Circular No. A-25.

e. *Accounting for Reimbursements Received.* Agencies shall:

(1) Include resource requests for the amount of planned information technology use in user budget and appropriation requests;

(2) Assure that shared facilities reduce budget and appropriation requests by the amount of planned reimbursements from users;

(3) Prepare, at the close of each fiscal year, a report that documents in the agency's official records the full past year cost of operating information technology facilities that recover more than $500,000 per year from sharing reimbursements; and

(4) Use the portion of reimbursements arising from equipment and software depreciation for the replacement of equipment and software capital assets, provided such usage is included in the agency's budget.

5. *Selection of Information Technology Facilities To Support New Applications.*

In selecting information technology facilities to support new applications, agencies shall establish a management control procedure for determining which facility will be used to support each significant application. This procedure shall ensure that:

(a) All alternative facilities are considered, including other Federal agency and nonfederal facilities and services;

(b) Agency rules do not require that priority be given to the use of in-house facilities; and

(c) The user of the application has primary responsibility for selecting the facility.

6. *Assignment of Responsibilities.*

a. *All Federal Agencies.* The head of each agency shall:

(1) Establish policies and procedures and assign responsibilities to implement the requirements of this Appendix; and

(2) Ensure that contracts awarded for the operation of information technology facilities include provisions for compliance with the requirements of this Appendix.

b. *General Services Administration.* The Administration of General Services shall:

(1) Ensure that information technology facilities designated as Federal Data Processing Centers comply with the procedures established by this Appendix;

(2) Ensure that provisions consistent with this Appendix are included in contracts for the operation of information technology facilities when acquiring services on behalf of an agency.

7. *Implementation Requirements.*

Agencies shall implement the provisions of this Appendix effective at the beginning of fiscal year 1987.

Appendix III to OMB Circular No. A-130—Security of Federal Automated Information Systems

1. *Purpose.*

This Appendix establishes a minimum set of controls to be included in Federal automated information systems security programs; assigns responsibilities for the security of agency automated information systems; and clarifies the relationship between such agency security programs and internal control systems established in accordance with OMB Circular No. A-123, Internal Control Systems. The Appendix revises procedures formerly contained in Transmittal Memorandum No. 1 to OMB Circular No. A-71, now rescinded, and incorporates responsibilities from applicable national security directives.

2. *Definitions.*

a. The term "automated information system" means an information system (defined in Section 6d of the Circular) that is automated.

b. The term "information technology installation" means one or more computer or office automation systems including related telecommunications, peripheral and storage units, central processing units, and operating and support system software. Information technology installations may range from information technology facilities such as large centralized computer centers to individual stand-alone microprocessors such as personal computers.

c. The term "sensitive data" means data that require protection due to the risk and magnitude of loss or harm that could result from inadvertent or deliberate disclosure, alteration, or destruction of the data. The term includes data whose improper use or disclosure could adversely affect the ability of an agency to accomplish its mission, proprietary data, records about individuals requiring protection under the Privacy Act, and data not releasable under the Freedom of Information Act.

d. The term "sensitive application" means an application of information technology that requires protection because it processes sensitive data, or because of the risk and magnitude of loss or harm that could result from improper operation or deliberate manipulation of the application.

e. The term "security specifications" means a detailed description of the safeguards required to protect a sensitive application.

3. *Automated Information Systems Security Programs.*

Agencies shall assure an adequate level of security for all agency automated information systems, whether maintained in-house or commercially. Specifically, agencies shall:

—Assure that automated information systems operate effectively and accurately;
—Assure that there are appropriate technical, personnel, administrative, environmental, and telecommunications safeguards in automated information systems; and
—Assure the continuity of operation of automated information systems that support critical agency functions.

Agencies shall implement and maintain an automated information systems security program, including the preparation of policies, standards, and procedures. This program will be consistent with government-wide policies, procedures, and standards issued by the Office of Management and Budget, the Department of Commerce, the Department of Defense, the General Services Administration, and the Office of Personnel Management. Agency programs shall incorporate additional requirements for securing national security information in accordance with appropriate national security directives. Agency programs shall, at a minimum, include four primary elements: applications security, personnel security, information technology installation security, and security awareness and training.

a. *Applications Security.*

(1) *Management Control Process and Sensitivity Evaluation.* Agencies shall establish a management control process to assure that appropriate administrative, physical, and technical safeguards are incorporated into all new applications, and into significant modifications to existing applications. Management officials who are the primary users of applications should evaluate the sensitivity of new or existing applications being substantially modified. For those applications considered sensitive, the management control process shall, at a minimum, include security specifications and design reviews and systems tests.

(a) *Security Specifications.* Agencies shall define and approve security requirements and specifications prior to acquiring or starting formal development of the applications. The results of risk analyses performed at the information technology installation where the applications will be processed should be taken into account when defining and approving security specifications for the applications. Other vulnerabilities of the applications, such as in telecommunications links, shall also be considered in defining security requirements. The views and recommendations of the information technology user organization, the information technology installation, and the individual responsible for security at the installation shall be considered prior to the approval of security specifications for the applications.

(b) *Design Reviews and System Tests.* Agencies shall conduct and approve design reviews and system tests, prior to placing the application into operation, to assure the proposed design meets the approved security specifications. The objective of the system tests should be to verify that required administrative, technical, and physical safeguards are operationally adequate. The results of the design reviews and systems tests shall be fully documented and maintained in the official agency records.

(c) *Certification.* Upon completion of the system tests, an agency official shall certify that the system meets all applicable Federal policies, regulations, and standards, and that the results of the tests demonstrate that the installed security safeguards are adequate for the application.

(2) *Periodic Review and Recertification.* Agencies shall conduct periodic audits or reviews of sensitive applications and recertify the adequacy of security safeguards. Audits or reviews shall evaluate the adequacy of implemented safeguards, assure they are functioning properly, identify vulnerabilities that could heighten threats to sensitive data or valuable resources, and assist with the implementation of new safeguards where required. They are intended to provide a basis for recertification of the security of the application. Recertification shall be fully documented and maintained in the official agency records. Audits or reviews and recertifications shall be performed at least every three years. They should be considered as part of agency vulnerability assessments and internal control reviews conducted in accordance with OMB Circular No. A-123. Security or other control weaknesses identified shall included in the annual internal control assurance letter and report required by Circular No. A-123.

(3) *Contingency Plans.* Agencies shall establish policies and assign responsibilities to assure that appropriate contingency plans are developed and maintained by end users of information technology applications. The intent of such plans is to assure that users can continue to perform essential functions in the event their information technology support is interrupted. Such plans should be consistent with disaster recovery and continuity of operations plans maintained by the installation at which the application is processed.

b. *Personnel Security.* Agencies shall establish and manage personnel security policies and procedures to assure an adequate level of security for Federal automated information systems. Such policies and procedures shall include requirements for screening all individuals participating in the design, development, operation, or maintenance of sensitive applications as well as those having access to sensitive data. The level of screening required by these policies should vary from minimal checks to full background investigations, depending upon the sensitivity of the information to be handled and the risk and magnitude of loss or harm that could be caused by the individual. These policies shall be established for both Federal and contractor personnel. Personnel security policies for Federal employees shall be consistent with policies issued by the Office of Personnel Management.

c. *Information Technology Installation Security.* Agencies shall assure that an appropriate level of security is maintained at all information technology installations operated by or on behalf of the Federal Government (e.g., government-owned, contractor-operated installations).

(1) *Assigning Responsibility.* Agencies shall assign responsibility for the security of each installation to a management official knowledgeable in information technology and security matters.

(2) *Periodic Risk Analysis.* Agencies shall establish and maintain a program for the conduct of periodic risk analyses at each installation to ensure that appropriate, cost effective safeguards are incorporated into existing and new installations. The objective of a risk analysis is to provide a measure of the relative vulnerabilities and threats to an installation so that security resources can be effectively distributed to minimize potential loss. Risk analyses may vary from an informal review of a microcomputer installation to a formal, fully quantified risk analysis of a large scale computer system. The results of these analyses should be documented and taken into consideration by management officials when certifying sensitive applications processed at the installation. Such analyses should also be consulted during the evaluation of general controls over the management of information technology installations conducted in accordance with OMB Circular No. A-123. A risk analysis shall be performed:

(a) Prior to the approval of design specifications for installations;

(b) Whenever a significant change occurs to the installations (e.g., adding a local area network; changing from batch to online processing; adding dial-up capability). Agency criteria for defining significant change shall be commensurate with the sensitivity of the data processed by the installation.

(c) At periodic intervals established by the agency commensurate with the sensitivity of the data processed, but not to exceed every five years if no risk analysis have been performed during that period.

(3) *Disaster and Continuity Plan.* Agencies shall maintain disaster recovery and continuity of operations plans for all information technology installations. The objective of these plans should be to provide reasonable continuity of data processing support

should events occur that prevent normal operations at the installation. For large installations and installations that support essential agency functions, the plans should be fully documented and operationally tested periodically, at a frequency commensurate with the risk and magnitude of loss or harm that could result from disruption of information technology support.

(4) *Acquistion Specifications.* Agencies shall assure that appropriate technical, administrative, physical, and personnel security requirements are included in specifications for the acquisition or operation of information technology installations, equipment, software, and related services, whether procured by the agency or by GSA. These security requirements shall be reviewed and approved by the management official responsible for security at the installation making the acquisition.

d. *Security Awareness and Training Programs.* Agencies shall establish a security awareness and training program to assure that agency and contractor personnel involved in the management, operation, programming, maintenance, or use of information technology are aware of their security responsibilities and know how to fulfill them. Users of information technology systems should be apprised of the vulnerabilities of such systems and trained in techniques to enhance security.

4. *Assignment of Responsibilities.*

a. *Department of Commerce.* The Secretary of Commerce shall:

(1) Develop and issue standards and guidelines for assuring the security of Federal automated information systems;

(2) Establish standards, approved in accordance with applicable national security directives, for systems used to process sensitive information the loss of which could adversely affect the national security interest; and

(3) Provide technical assistance to Federal agencies in implementing Department of Commerce standards and guidelines.

b. *Department of Defense.* The Secretary of Defense shall:

(1) Act, in accordance with applicable national security directives, as executive agent of the government for the security of telecommunications and automated information systems that process information the loss of which could adversely affect the national security interest; and

(2) Provide technical material and assistance to Federal agencies concerning security of Federal telecommunications and automated information systems.

c. *General Services Administration.* The Administrator of General Services shall:

(1) Issue policies and regulations for the physical and environmental security of computer rooms in Federal buildings consistent with standards issued by the Department of Commerce and the Department of Defense.

(2) Assure, that agency procurement requests for computers, software, telecommunications services, and related services include security requirements. Delegations of procurement authority to agencies by GSA under mandatory programs, dollar threshold delegations, certification programs, or other so-called blanket delegations shall include requirements for agency specification of security requirements.

(3) Assure that information technology equipment, software, computer room construction, guard or custodial services, telecommunications services, and any other related services procured by GSA meet the security requirements established and specified by the user agency and are consistent with other applicable policies and standards issued by OMB, the Department of Commerce, the Department of Defense, and the Office of Personnel Management.

(4) Issue appropriate standards for the security of Federal telecommunications systems. Standards related to systems used to communicate sensitive information, the loss of which could adversely affect the national security interest, shall be developed and issued in accordance with applicable national security directives.

d. *Office of Personnel Management.* The Director, Office of Personnel Management, shall maintain personnel security policies for Federal personnel associated with the design, programming, operation, maintenance, or use of Federal automated information systems. Requirements for personnel checks imposed by these policies should vary commensurate with the risk and magnitude of loss or harm that could be caused by the individual. The checks may range from merely normal reemployment screening procedures to full background investigations.

5. *Reports.* In their annual internal control report to the President and the Congress, required under OMB Circular No. A–123, agencies shall:

a. Describe any security or other control weaknesses identified during audits or reviews of sensitive applications or when conducting risk analyses of installations; and

b. Provide assurance that there is adequate security of agency automated information systems.

Appendix IV to OMB Circular No. A–130—Analysis of Key Sections

1. Purpose

The purpose of this Appendix is to provide a general context and explanation for the contests of the key sections of the Circular.

2. Background

The Paperwork Reduction Act of 1980, Pub. L. 96–511, 94 Stat 2812, codified at Chapter 35 of Title 44 of the United States Code, establishes a broad mandate for agencies to perform their information activities in an efficient, effective, and economical manner. Section 3504 of the Act provides authority to the Director, Office of Management and Budget (OMB), to develop and implement uniform and consistent information resources management policies; oversee the development and promote the use of information management principles, standards, and guidelines; evaluate agency information management practices in order to determine their adequacy and efficiency; and determine compliance of such practices with the policies, principles, standards, and guidelines promulgated by the Director.

The Circular implements OMB authority under the Act with respect to Section 3504(b), general information policy, Section 3504(e), records management, Section 3504(f), privacy, and Section 3504(g), Federal automatic data processing and telecommunications; the Privacy Act of 1974 (5 U.S.C. 552a); Sections 111 and 206 of the Federal Property and Administrative Services Act of 1949, as amended (40 U.S.C. 759 and 487, respectively); the Budget and Accounting Act of 1921 (31 U.S.C. 1 et seq.); and Executive Order No. 12046 of March 27, 1978 and Executive Order No. 12472 of April 3, 1984, Assignment of National Security and Emergency Telecommunications Functions. The Circular complements 5 CFR Part 1320, Controlling Paperwork Burden on the Public, which implements other sections of the Paperwork Reduction Act dealing with controlling the reporting and recordkeeping burden placed on the public.

In addition, the Circular revises and consolidated policy and procedures in five existing OMB directives and rescinds those directives, as follows:

A–71—Responsibilities for the Administration and Management of Automatic Data Processing Activities

Transmittal Memorandum No. 1 to Circular No. A–71—Security of

Federal Automated Information Systems
A-90—Cooperating with State and Local Governments to Coordinate and Improve Information Systems
A-108—Responsibilities for the Maintenance of Records about Individuals by Federal Agencies
A-121—Cost Accounting, Cost Recovery, and Interagency Sharing of Data Processing Facilities.

OMB's review of the five existing policy directives led to the conclusion that much, but not all, of their content was procedural in nature, concerned chiefly with how policies were to be carried out. OMB determined that it was important clearly to distinguish the statement of policies from the procedures for implementing those policies. For this reason, the main body of the Circular consists of basic considerations and assumptions, policies, and assignments of responsibility; the appendices to the Circular consist of procedures for implementing various policies and with analysis of key sections.

OMB developed the main body of the Circular relying upon comments on the Federal Register notice as well as other forms of Federal agency and public input, principally meetings with interested parties. For the procedural revisions, OMB relied on the assistance of interagency task groups.

The revised contents of OMB Circular No. A-71, dealing with assignments of responsibilities, are in the main body of this Circular. The contents of OMB Circular No. A-90 are rescinded entirely, with the exception of a policy statement at Section 8(b)(17) of this Circular. Revisions of the procedural aspects of the other three policy directives—Transmittal Memorandum No. 1 to A-71, A-108, and A-121—are appendices to this Circular. Appendices I, II, and III have the same prescriptive force as the Circular. Appendix IV is an explanatory document.

On September 17, 1984, the President signed National Security Decision Directive (NSDD) No. 145, National Policy on Telecommunications and Automated Information Systems Security. The NSDD requires that the Director, OMB, review for consistency with NSDD, and amend as appropriate OMB Circular No. A-71, Transmittal Memorandum No. 1. The Circular and Appendix III satisfy the NSDD requirement.

3. Analysis

Section 6. Definitions.

f. Access to information. g. Dissemination of information. The Circular defines "access to information" as the function of providing to members of the public, upon their request, the government information to which they are entitled under law. Access refers to those situations in which the government agency's role is passive; access is what the government's responsibilities are when the public comes to the government and ask for information the government has and the public is entitled to. "Dissemination," in the Circular's usage, refers to the function of distributing government information; dissemination connotes an active outreach by a government agency. Dissemination refers to those situations in which the government provides the public with information without the public having to come and ask for it.

The distinction between access and dissemination is posed in order to elaborate the responsibilities of Federal agencies for providing information to the public. Two fundamentally different situations exist: one in which the public goes to the agency to ask for information the agency holds and may or may not have disseminated; and one in which the agency chooses to take the information it holds to the public. In the first instance—access—Congress has provided specific statutory policy in the Freedom of Information Act (FOIA) and in the Privacy Act. These laws and policies concerning access to government information are explicit, well known, and now so widely accepted in practice by Federal agencies as not to require policy elaboration in this Circular. Agencies should know that, if members of the public ask for information subject to FOIA or the Privacy Act, the agencies should normally provide the information forthwith, because the public has a formal legal process for forcing the agencies to yield the information.

The relationship between access to the dissemination of information is explained below, in the discussion of 8a(6) through (12).

Section 7. Basic Considerations and Assumptions

Basic considerations and assumptions are statements that provide the underpinnings for the prescriptive policies in Section 8; they are not themselves policy statements. They are either derived from statutes or legislative history, or represent executive branch management philosophy as embodied in the Circular.

—Statements 7-a through 7-d provide the general context for management of Federal information resources.
—Statement 7-e summarizes policy found in OMB Circular No. A-76, Performance of Commercial Activities.
—Statement 7-f states a general predisposition to use up-to-date information technology to manage Federal information resources.
—Statements 7-g and 7-h pertain to the Privacy Act and the Freedom of Information Act, respectively.
—Statement 7-i pertains to the National Science and Technology Policy, Organization and Priorities Act.
—Statement 7-j pertains to the Federal Records Act.
—Statement 7-k states a relationship between Federal information policy and international information policy.

Section 8. Policies

This section is divided into two subsections that generally correspond to the twofold definition of information resources management in Section 6-b, namely, information itself and the resources associated with information.

a. Information Management. The Paperwork Reduction Act acknowledges that information is a valuable resource and should be managed as such. Proceeding from this premise, this subsection states policies concerning the management of Federal information.

(1) and (2). Information Collection and Sharing. The Circular's basic considerations and assumptions (Section 7) establish the value of government information activities. Without question, some information created or collected by Federal agencies is so vital that the American form of government, the economy, national security, and citizens' safety and wellbeing could not continue to exist in its absence. Nothing in this Circular is intended to diminish or derogate the creation or collection of such information, nor to serve as a pretext under which a Federal agency could damage the Nation's critical needs by failing to create or collect such information.

At the same time, the Paperwork Reduction Act was designed to remedy deficiencies Congress perceived in Federal information activities. In the words of the report of the House Committee on Government Operations (Report No. 96-835, p. 3):

> The legislation is the result of a growing concern that the way the Government collects, uses, and disseminates information must be improved. Inefficiencies in current Federal information practices drastically reduce the effectiveness of the Government while, at the same time, drowning our

citizens in a sea of forms, questionnaires, and reports.

The Act intends that the creation or collection of information be carried out within the context of efficient, effective, and economical management. When Federal agencies create or collect information—just as when they perform any other vital functions—they consume scarce resources and such activities must be continually scrutinized in light of good management principles. The applicable principles provided in the purposes of the Act are:

—To minimize the Federal paperwork burden for individuals, small businesses, State and local governments, and other persons;
—To minimize the cost to the Federal Government of collecting, maintaining, using and disseminating information; and
—To maximize the usefulness of information collected by the Federal Government. (44 U.S.C. 3501)

Agencies must justify the creation or collection of information in the light of their statutory functions. Policy statement 8a(2) uses the standard, "necessary for the proper performance of agency functions," taken directly from the Paperwork Reduction Act (44 U.S.C. 3504(c)(2)). Further, the policy statement includes the requirement that the information have practical utility, as defined in the Paperwork Reduction Act (44 U.S.C. 3502(15)) and elaborated in Controlling Paperwork Burdens on the Public (5 CFR Part 1320). Note that practical utility includes characteristics pertaining to the quality of information such as accuracy, adequacy, and reliability, and that, in the case of general purpose statistics or recordkeeping, practical utility means that actual uses can be demonstrated (5 CFR 1320.7 (q)).

Good management and the requirement of practical utility dictate that agencies must plan from the outset for the steps in the information life cycle. The Act also stipulates that agencies must "formulate plans for tabulating the information in a manner which will enhance its usefulness to other agencies and to the public" (44 U.S.C. 3507(a)(1)(C)). When creating or collecting information, agencies must plan how they will process and transmit the information, how they will use it, what provisions they will make for access to it, whether and how they will disseminate it, how they will store it, and finally, how the information will ultimately be disposed of. While agencies cannot at the outset achieve absolute certitude in planning for each of these processes, the requirement for information resources planning is clearly contained in the Act (44 U.S.C. 3506(c)(1)), and the absence of adequate planning is sufficient reason not to create or collect information in the first place.

Before creating or collecting new information, agencies should look first to other agencies and the private sector so as not to duplicate existing information sources or services that would satisfy their needs. The Act requires that agencies shall not conduct or sponsor information collections unless they have eliminated collections "which seek to obtain information available from another source within the Federal Government" (44 U.S.C. 3507(a)(1)(A)). Each agency must also "ensure its information systems do not overlap each other or duplicate the systems of other agencies" (44 U.S.C. 3506(c)(2)). The Act also contains provisions governing the sharing of information between agencies (44 U.S.C. 3510). Applying the policy of OMB Circular No. A–76, the Circular also requires agencies to examine the possibility of acquiring the necessary information from private sector sources.

This is not to say that information creation or collection functions should be indiscriminately turned over to other agencies or to the private sector, but rather to say that agencies have an obligation to examine other potential sources of information which may satisfy agency needs. Some information can only be created or collected by Federal agencies themselves in the exercise of the government's sovereign powers. For some information, the government can satisfy its legitimate needs only when a Federal agency is the creation or collection agent. But other information needs can be met, and in many cases are routinely met, through existing services and sources in other agencies or the private sector. In many cases there is no inherently governmental function that is served by having information collected by a Federal agency; agencies should and do consider acquiring information collection services from the private sector. The Circular emphasizes that these sources should always be looked to first in the interests of efficiency and economy.

(3) through (6). Privacy Act and Freedom of Information Act. These statements contain policy statements pertaining to the Privacy Act and incorporating the policies of OMB Circular No. A–108, which is rescinded and superseded. Agencies are to ensure that they meet the requirements of the Privacy Act regarding collection of individually identifiable information. Such information is to be maintained and protected so as to preclude intrusion into the privacy of individuals. Individuals must be accorded access and amendment rights to records, as provided in the Privacy Act. Appendix I prescribes procedures for the maintenance of records about individuals in accordance with the Privacy Act.

In addition to Privacy Act considerations, statements (3) and (4) include provisions concerning proprietary information. Agencies are to minimize their collection of proprietary information, consistent with legal requirements and operational necessity and, when such information must be collected, agencies must provide for its protection.

(7). Training. Agency personnel must receive proper training to safeguard information resources. Training is particularly important in view of the changing nature of information resources management. The development of end user computing and office automation, for example, place the management of information and information technology in the hands of nearly all agency personnel rather than in the hands of a few employees at centralized facilities such as large computer centers. Policies and procedures for computer security, records management, protection of privacy, and other safeguards need to be incorporated into information resources management training programs.

(8) through (12). Information Dissemination.

(8) and (9). General Policy. How does the public know what information is available from Federal agencies? That is, given the distinction the Circular makes between access and dissemination, what is the relationship between the two? How does the public know what government information is accessible? The answer is: through the government's dissemination of information on what is available and how to gain to access it.

The Freedom of Information Act requires each agency to publish currently in the Federal Register, for the guidance of the public, descriptions of agency organization; where and how the public may obtain information; the general course and methods by which agency functions are determined, including all procedural requirements; rules of procedure; descriptions of forms and how to obtain them; substantive regulations; statements of general policy; and revisions to all the foregoing (5 U.S.C. 552(a)(1)). The Privacy Act also requires publication of information concerning systems of records (see Appendix I); the Government in the Sunshine Act requires agencies to make public announcement of meetings (5 U.S.C. 552b(e)(1)). The Paperwork Reduction Act (44 U.S.C. 3507(a)(2)) and Controlling Paperwork Burdens on the Public (5 CFR Part 1320) require agencies to publish notices when they submit information collection requests for OMB approval.

In sum, every Federal agency has obligations to disseminate basic information to the public concerning what the agency does, how its programs operate, what the public must do to comply with laws or regulations, how to receive benefits, and how the public can use agency services. These obligations are the basic linkage between access to, and dissemination of, government information.

Beyond generic requirements, specific laws affect agency dissemination of information in two ways. First, for some agencies their basic enabling legislation stipulates that information dissemination is part of their statutory mission. General purpose statistical agencies, for example, have information dissemination as part of their very reason for existence. These agencies conduct substantial information dissemination programs in order to carry out their necessary functions. In contrast, other agencies such as some regulatory agencies have basic information access, but minimal information dissemination, responsibilities; the existence of substantial information dissemination programs in such agencies would be unusual. Second, statutes may sometimes require that agencies produce and disseminate specific information products or services. For example, the law may state that the President or head of an agency shall make reports to the Congress on given subjects; these would be legally required disseminations of information.

Beyond generic and specific statutory requirements, agencies have positive obligations to disseminate information as a necessary part of performing their functions. Each agency head must clarify the nature of these obligations for the agency's particular mission and set appropriate boundaries for dissemination functions. Before deciding to disseminate an information product or service, and periodically thereafter, an agency must be able to demonstrate that the dissemination of the product or service passes the test of either being required by law or being necessary for the proper performance of agency functions.

In conformity with the purposes of the Paperwork Reduction Act, the agency's positive obligations to disseminate information must be discharged within a responsible management framework of minimizing costs to the Federal Government while maximizing the usefulness of the information. Efficient, effective, and economical dissemination does not translate into diminishing or limiting the flow of information from the agency to the public. To the contrary, good management of information resources should result in more useful information flowing with greater facility to the public, at less cost to the taxpayer.

Given an adequate basis for dissemination, agencies must also ask themselves whether a proposed or existing information product or service substantially duplicates similar products or services that would otherwise be available, either from another agency or from the private sector. This requirement or non-duplication, originating in the Paperwork Reduction Act, husbands scarce resources and leads to more efficient, effective, and economical information dissemination by the government.

Similarly, the fact that an agency has created or collected information is not itself a valid reason for creating a program, products, or service to disseminate the information to the public. Agencies create and collect much information, often for purely internal governmental purposes, that is not intended for dissemination, for which there is no public demand, and the dissemination of which would serve no public purpose and would not be cost-justified; e.g., compilations of routine time and attendance records for Federal employees, or publication of the thousands of pages of common carrier tariff filings by regulatory agencies. While such information may be subject to access upon request under provisions of agency statutes, the Freedom of Information Act, or the Privacy Act, the agency must demonstrate in each case the need actively to disseminate such information. Over time, changes in laws, economic conditions, or information technology can result in changes in public demand, public purpose, or dissemination costs; for example, an agency's shift to electronic filing of reports, perhaps carried out primarily in order to improve internal information management, might generate a public demand for electronic dissemination that could be satisfied at minimal cost to the government and also improve the performance of the agency's information access function. The decision to disseminate information, however, entails potentially significant costs, must be addressed separately from the decision to create or collect information, and must hinge upon a determination that dissemination is necessary for proper performance of agency functions.

If agencies do contemplate disseminating particular information, they should plan for its dissemination when creating or collecting the information (see 8a(1)). Planning for dissemination should proceed from the Paperwork Reduction Act premises of minimizing the cost to the government while maximizing the usefulness of information. The focus of information dissemination plans should be on elevating to a policy level decisions regarding the agency's positive obligations to disseminate information and ensuring that the agency discharges the obligations in the most efficient, effective, and economical manner.

(10) Adequate Notice. Because many government information activities are important to the government and to the public, agencies must exercise care not to act capriciously with respect to information products and services. When agencies intend to commence offering new products or services, they should provide adequate advance notice so that the public may comment as to the need for the product or service. For example, if private sector interests believe they are already offering or are about to offer the same or a similar product or service—in which event the government may potentially be entering into unfair competition—such notice will allow these interests to present their case before the product or service is launched. By the same token, if many members of the public greatly depend on a particular product or service, they should be permitted to voice their views to an agency that is contemplating termination of the product or service.

The Circular refers to "significant" information products and services. It is not the Circular's intent that agencies should follow notice and comment procedures when terminating relatively inconsequential information products and services; examples might be minor brochures or flyers, products and services that were never intended to be continuing, or for which there is now little or no public audience. Agencies should determine for themselves whether information products and services are "significant," and in some cases may wish to establish procedures and thershold criteria for making such determinations. If a product or service is considered significant, as determined ultimately by the agency head, the agency may be well advised to follow notice and comment procedures prior to initiation or termination.

(11)(a). Reaching the Public: Avoiding Information Monopolies. When agencies have justified and made the basic decision to disseminate information, they must also satisfy conditions regarding the manner of dissemination. First, agencies must take steps to ensure that members of the public who the agency has an obligation to reach have a reasonable ability to acquire the information. The audiences for information products and services will vary, and agencies should tailor the dissemination methods so as to place the information into the hands of those whom the agency intends to receive it.

Federal agencies are often the sole holders of certain information; hence, when they disseminate, they are sole suppliers and in a position of natural monopoly. When agencies use private sector contractors to accomplish dissemination, they must take care that they do not permit contractors to exercise monopolistic controls in ways that defeat the agencies' information dissemination obligations, for example, by setting unreasonably high prices. In some cases agencies may need to formulate contractual terms with a sole supplier contractor so that the contractor functions as a mere intermediary for the agency in dealing with end users in the public.

(11)(b). Reliance on the Private Sector. In disseminating information—as with other activities—agencies must act in the most cost effective manner, which includes maximum feasible reliance on the private sector. This is merely an application to agency information dissemination programs of the policy stated in OMB Circular No. A–76, Performance of Commercial Activities, and summarized in Section 7f of this Circular. It is "the general policy of the government to rely on commercial sources to supply the products and services the government needs," including products and services the government needs in order to disseminate information to the public. For example, before an agency establishes a service for electronic dissemination of government information via an online computer system, the agency should compare the cost of contracting for operation of the service versus in-house performance and determine whether in-house performance is less costly both for the government and for the public who will receive the service.

Policies contained in OMB Circular No. A–76 are applicable to information dissemination, including the policy that inherently governmental functions should be performed by government employees. The general policy of reliance on the private sector is balanced by the "inherent governmental function" policy, and the Circular in no way intends to abrogate the latter. Where agencies determine that information dissemination activities are inherently governmental, the agencies themselves should carry out the activities.

(11)(c). User Charges. The Federal Government is the sole possessor and supplier of certain types of information, which is frequently of substantial commerical value. Dissemination of such information, or its dissemination in a specific form or medium, may represent a government service from which identifiable recipients derive special benefits, in which case they may be subject to OMB Circular No. A–25, User Charges. For example, where the information is already substantially available in printed form, agencies may consider dissemination in electronic form to be a service of special benefit, the costs of which should be recovered through user charges. Many agencies do not have consistent, agency-wide policies and procedures for setting user charges for information products and services with a view to cost recovery. Agencies must establish user charges for the costs of information dissemination, and recover such costs, where appropriate. Whether user charges are appropriate depends, in principle, on whether identifiable recipients will receive special benefits from information products and services.

The requirement to establish user charges is not, however, intended to make the ability to pay the sole criterion for determining whether the public receives government information. Agencies must balance the requirement to establish user charges and the level of fees charged against other policies, specifically, the proper performance of agency functions and the need to ensure that information products and services reach the public for whom they are intended (see Section 8a(11)(a)). If an agency has a positive obligation to place a given product or service in the hands of certain specific groups or members of the public and also determines that user charges will constitute a significant barrier to discharging this obligation, the agency may have grounds for reducing or eliminating its user charges for the product or service, or for exempting some recipients from the charge.

(12). Periodic Review and Depository Libraries. Agencies must also establish procedures for periodically reviewing their information dissemination programs. Agency information dissemination plans must ask whether the agency should disseminate a given information product or service at all; if the agency is already disseminating the product or service, reviews should ask whether the agency should continue to do so; or whether the manner or medium of dissemination is the most efficient, effective, and economical.

In addition, agencies must establish procedures to ensure compliance with 44 U.S.C. 1902, which requires that government publications (defined in 44 U.S.C. 1901 and repeated in Section 6k of the Circular) be made available to the Federal depository libraries through the Government Printing Office. The depository libraries provide a kind of information "safety net" to the public, an existing institutional mechanism that guarantees a minimum level of availability of government information to all members of the public. Providing publications to the depository library program complies with the law and costs executive agencies virtually nothing.

b. Information Systems and Information Technology Management. This subsection states policies concerning the planning, acquisition, operation, and management of Federal information systems and technology. The Federal information systems and technology budget, which was $14 billion in FY 1985, is projected to increase at a rate faster than that of the overall Federal budget. With outlays at these levels and agencies becoming increasingly dependent upon information technology to accomplish their missions, it is essential that planning processes be applied to the acquisition and application of information technology.

(1). Planning. The Paperwork Reduction Act mandates a stronger central role in information resources planning. Specifically, the Act requires that OMB: (1) publish a five-year government-wide automatic data processing and telecommunications plan; (2) review and coordinate agency proposals for the acquisition and use of information technology; and (3) promote the use of the technology to improve governmental efficiency and effectiveness. In order to meet these objectives, it is necessary to initiate a government-wide process for developing and institutionalizing information technology planning that is based in agency programs and missions. The planning must also be tied to the budget so that budgetary decisions derive from plans, and conversely, so that budgetary constraints are reflected in the plans.

The process must further ensure that sufficient information is available to the central agencies to enable them to monitor compliance with Federal policies and identify major issues, including cross-cutting issues where more active centralized planning and management may be appropriate. Hence, agencies must institute information planning processes tied to both the conduct of programs and the preparation of the agency's budget.

(2) and (3). Management Controls and Accountability. Basic management controls for agency information systems are fundamental to sound information resources management. These controls should ensure the documentation and periodic review of major information systems, as well as periodic cost-benefit evaluation of overall information resources management in light of agency missions. In order to provide greater incentative for management efficiencies, accountability for information systems should be vested in the officials responsible for operating the programs that the systems support.

Program managers depend upon information systems to carry out their programs, and yet frequently they do not have direct control over the technical and operational support for those systems. Program managers often depend upon agency computer centers or contracted service organizations, the heads of which may not be directly accountable to the program managers in a formal-organizational sense. Program managers are nonetheless responsible for conducting their programs and, to the extent successful conduct of the programs entails support from information systems, program managers must be held accountable for acquiring that support. The responsibilities of program managers are therefore presumed to include securing information systems support as needed, and planning for contingencies. Technical support organizations have a concomitant responsibility to meet their commitments, contractual or otherwise, to their program clients, but the program official has the ultimate responsibility for delivering a program's product or service.

(4) and (5). Sharing Information Processing Capacity. OMB Circular No. A-121, which is rescinded and superseded, required only that the holder of excess automatic data processing capacity share such capacity. Because the holder of excess capacity has little incentive to seek opportunities for sharing, however, the new policy requires both that the holder share capacity and that the agency seeking information processing capacity fulfill its needs from other agencies or the private sector, whenever possible, before acquiring the new capacity itself. The policy establishes an order of preference in meeting needs—look first to existing sources before acquiring new capacity—but is not intended to assert blindly that sharing or commercial sources are the sole considerations. Agencies must also consider whether existing sources are more cost effective and whether they in fact will meet agency specific needs. Procedural aspects of these policy statements are found in Appendix II.

(6) and (7). Life Cycle Costing; and Avoiding Duplication. Agencies frequently develop information technology incrementally, through a series of interim upgrades, without regard for longer term considerations such as the information systems' life cycle. As part of their planning, agencies need to consider the full information system life cycle when determining the cost of information technology. While competitive procurement is generally to be valued, its costs should be taken into account, including the cost to program effectiveness of unnecessarily lengthy procurement processes. Other conditions, such as the need for compatibility, may also be legitimate limitations on the competitive process. Similarly, agency planning should ensure that information systems are not unnecessarily duplicative of systems available elsewhere in government or from the private sector.

(8). Software Management. The prevailing agency practice of developing customized computer software is a source of inefficiency, as the General Accounting Office and others have noted. While some agency applications can only be satisfied with customized software, the tendency to prefer custom development is excessively costly in terms of initial development, continued maintenance, and eventual conversion to new technology, because it requires the agency to bear the full cost of developing and maintaining the software it uses. While recognizing that off-the-shelf software has pitfalls, such as uncertainty of continued maintenance, managers are generally to prefer acquiring generic, off-the-shelf software available from the private sector instead of developing their own.

(9). Necessary Compatibility. Agencies often acquire technology that is incapable of communicating with other systems with which the agencies need to communicate. Compatibility among information systems has consequently emerged as a significant information resources management problem. Agencies must acquire or develop information systems in a manner that enhances necessary compatibility. The qualifier "necessary" is used because compatibility is not an unrestricted goal: information systems need to be compatible with other systems only to the extent that they must communicate with those systems.

(10) through (13). Security. Security of information systems means both the protection of information while it is within the systems and also the assurance that the systems do exactly what they are supposed to do and nothing more. Information system security entails management controls to ensure the integrity of operations including such matters as proper access to the information in the systems and proper handling of input and output. In this sense, security of information systems is first and foremost a management issue and only secondly a technical problem of computer security.

The recent introduction of smaller and more powerful computer systems and new communications technology and transmission media, together with the greater involvement of end users in managing information resources, have increased the potential vulnerability of Federal information systems and hence the level of management concern. Protecting personal, proprietary, and other sensitive data from unauthorized access or misuse; detecting and preventing computer related fraud and abuse; and assuring continuity of operations of major information systems in the event of emergency related disruptions are increasingly serious policy issues. Policy previously found in Transmittal Memorandum No. 1 to OMB Circular No. A-71 is here revised; procedural aspects of the policy are in Appendix III to the Circular.

The General Accounting Office reported in its review of the first-year implementation of the Federal Managers Financial Integrity Act (FIA) that internal controls in automatic data processing systems received inadequate coverage in FIA evaluations. GAO noted that some agencies were uncertain of the relationship between (a) OMB Circular No. A-71, Transmittal Memorandum No. 1, Security of Federal Automated Information Systems, and (b) OMB Circular No. A-123, Internal Control Systems. The relationship between security of automated information systems and agency internal control reports is now stated clearly in Appendix III.

Appendix III provides a minimal set of requirements for the security of all

Federal automated information systems. The Appendix also requires agencies to incorporate additional requirements for the security of information classified for national security purposes, in accordance with appropriate national security directives.

(14) Standards. The National Bureau of Standards, Department of Commerce, develops and issues Federal Information Processing Standards. The National Communications System develops and the General Services Administration issues Federal Telecommunications Standards. Some standards are mandatory for Federal agencies, while others are voluntary. Agencies may waive the use of Federal standards under certain conditions and pursuant to certain procedures, which vary depending upon the individual standard. In general, OMB strongly recommends use of these standards government-wide. Such standards can contribute to overall government economy and efficiency by increasing compatibility in computer and telecommunications networks, improving the transportability of software, and enabling computer systems to be developed using components of different manufacturers. These advantages can result in reduced procurement costs for equipment and services, improved competition, and better utilization of staff training and skills. While government-wide standards can result in management efficiencies, agencies should be mindful that standards can also have the untoward effects of regulations, as noted in OMB Circular No. A-119. Agencies should continuously assess relative costs and benefits of standards and their effects upon the agency's accomplishment of its mission. Note also that national security directives prescribe standards for computer security.

(15) Avoiding Information Technology Monopolies. Many agencies operate one or more central information technology facilities to support agency programs. In these agencies, program managers are often required to use the central facilities. The manager of such a monopoly facility has a lesser incentive to control costs, since he or she has a captive clientele. The program manager has little leverage to ensure that information processing resources are efficiently allocated since he or she cannot seek, or can seek only with great difficulty, alternative sources of supply. When users are dependent on effective technology support to perform their functions, control over selection of facility is essential and consistent with holding users responsible for producing their government information products. To provide incentives conducive to more businesslike procedures in information technology facilities, agencies should avoid monopolistic information processing arrangements and should enter into them only if their cost effectiveness is clear and they are subject to periodic review. Appendix II specifies certain procedures with respect to this policy.

(16) Cost Recovery. This policy constitutes a revision to policy stated in OMB Circular No. A-121. Whereas Circular No. A-121 required only that costs for automatic data processing facilities be allocated to users, agencies must now recover the costs of information technology facilities from government users. Viable management of a large information technology facility requires that managers know the amount of resources devoted to each user when providing services. Furthermore, effective management of the use of information technology requires that the user have responsibility for and control over the resources consumed by use of the facility. Experience with Circular No. A-121 showed OMB that allocating costs had little effect on agencies' behavior; recovering costs means that actual transfers of funds will take place between suppliers and users of information technology facilities. Procedural aspects of the policy appear in Appendix II.

(17) Coordination with State and Local Governments. This policy reaffirms policy previously found in OMB Circular No. A-90, Transmittal Memorandum No. 1. The interagency group that worked on the revision of Circular No. A-90 recommended, and OMB agreed, that the Circular should be rescinded except for a single policy statement prohibiting Federal agencies from placing unnecessary restrictions on the information systems that State and local governments use to carry out federally financed program activities.

(18) Application of Up-to-date Information Technology. Recent availability of low cost, highly efficient and effective electronic information technology can greatly increase worker productivity and facilitate operation of Federal agency programs. The Circular states a predisposition, based in the Paperwork Reduction Act, in favor of applying such technology to the information life cycle within a responsible management context. Two broad areas of information technology merit further discussion: (1) electronic information collection and dissemination, and (2) end user computing.

—*Electronic Collection and Dissemination of Information.* Federal agencies are moving rapidly to provide for collection and dissemination of information through electronic media. In developing this Circular, OMB considered whether it was necessary to provide specific policies concerning electronic collection and dissemination of governmental information. OMB concluded that, except for the general predisposition in favor of applying new technological developments to information resources management, the policies that apply to information collection and dissemination in other media also apply to electronic collection and dissemination. It is important, however, that agencies recognize the necessity of systematically thinking through the application of policies stated elsewhere in this Circular to electronic collection and dissemination of information. For example, when developing electronic collection programs, agencies should give particular attention to issues such as privacy, public access, and records management. When developing electronic dissemination programs, agencies should ensure that access is provided to each class of users upon reasonable terms, avoid problems arising from monopolistic control, ensure maximum reliance upon the private sector, and take necessary steps for cost accounting and cost recovery.

—*End User Computing.* Federal agencies are also moving rapidly to acquire end user computing capabilities. OMB endorses the managed innovation approach to end user computing presented in GSA's publication Managing End User Computing in the Federal Government (June 1983). Because end user computing places management of information in the hands of individual agency personnel rather than in a central automatic data processing organization, the Circular requires that agencies train end users in their responsibilities for safeguarding information; Appendix III deals in part with the security of end user computing.

Section 9. Assignment of Responsibilities

This section assigns responsibilities for the management of Federal information resources addressed in this Circular. OMB Circular No. A-71 is rescinded and its contents are revised and incorporated into this section along with responsibilities assigned under the Paperwork Reduction Act; Section 111 of the Federal Property and Administrative Services Act, as amended; and Executive Order No. 12046. Certain assignments of responsibility from OMB to other agencies, as noted below, are also included. Following are principal noteworthy aspects of this section.

Responsibility for Managing Information Resources. Statement 9a(1) is a key element in the Circular because it establishes that the locus of responsibility for actual management of Federal information resources is the head of each agency. This means, for example, that the determination of what is "necessary for the proper performance of agency functions" with respect to information creation or collection (9a(1)) and information dissemination (9a(9)) lies with the head of the agency. In the Circular OMB sets the policy framework within which such determinations are to be made and the standards and provisions for reviewing the determinations, but the management decisions and their implementation belong properly with the agency holding the information resources.

Triennial Reviews. The Paperwork Reduction Act provides that the Director of OMB ". . . shall, with the advice and assistance of the Administrator of General Services, selectively review, at least once every three years, the information management activities of each agency to ascertain their adequacy and efficiency." (44 U.S.C. 3513) The Administrator of Information and Regulatory Affairs, OMB, and the Deputy Administrator of the General Services Administration, in an exchange of correspondence dated June 13 and July 22, 1985, concurred that GSA has the necessary statutory authority to conduct reviews of Federal agency information resources management activities. Separate triennial reviews of agency activities by OMB and GSA would be unnecessarily duplicative, which would not be consistent with the Act. Accordingly, the triennial reviews conducted by GSA will be designed to meet OMB's requirements under the Paperwork Reduction Act as well as GSA's own needs.

Senior Officials for Information Resources Management. In accordance with 44 U.S.C. 3506(b) and 5 CFR 1320.6, agencies are required to designate a senior official to carry out responsibilities under the Paperwork Reduction Act. The designation of the official is intended to assure clear accountability for setting policy for agency information resources management activities, provide for greater coordination among the agency's information activities, and ensure greater visibility of such activities within the agency. The responsibilities of the senior official for information resources management were identified in OMB Bulletin No. 81-21, which has expired. Those responsibilities are now established in this Circular.

International Information Policy. The Circular deals with the management of information resources held by the Federal government. While the creation, collection, processing, transmission, dissemination, use, storage, and disposition of information by the Federal government has international ramifications, Federal government information resources management policy is not the same as "U.S. information policy," which refers to U.S. national interests in the information field vis-a-vis the policies and interests of other nations. The Circular formally acknowledges this distinction and assigns responsibilities for international information policy only insofar as it relates to Federal government information resources management policy.

Timely Technology Procurement. Inherent in effective management of information technology is the ability of program managers to acquire technology in a timely manner. GSA is assigned the responsibility in Section 9 to develop criteria that will streamline procurement procedures and delegate procurement authority to agencies that comply with those procedures. All Federal agencies are directed in Section 9 to develop internal policies and procedures that further provide for timely acquisition of information technology.

Records Management. The Paperwork Reduction Act makes the management of Federal records an integral part of information resources management. While no new policies are embodied in this Circular, responsibilities have been assigned in order to ensure that agency records management programs are considered within the context of Federal information resources management.

Section 10. Oversight

The broad scope of the Circular dictates a strategy of focusing oversight on a series of aspects of information resources management rather than on a single comprehensive reporting scheme. OMB intends to use existing mechanisms, such as the fiscal budget, information collection budget, and management reviews, to examine agency compliance with the Circular. For example, during 1984 the management reviews for the FY 1986 budget year concentrated on five cross-cutting information issues: overall information resources management strategy, telecommunications, software management, "electronic filing," and end user computing. OMB issued data call bulletins requesting information specific to these issues, targeted the issues for special attention during the management reviews, and requested individual agencies to submit management improvement plans on specific aspects of the issues. Pursuit of this kind of selective oversight strategy permits OMB and the agencies the flexibility to shift the focus of oversight as information issues and the technological environment change.

[FR Doc. 85-30530 Filed 12-23-85; 8:45 am]

BILLING CODE 3110-01-M

CORRECTIONS

OFFICE OF MANAGEMENT AND BUDGET

Management of Federal Information Resources

Correction

In FR Doc. 85–30530 beginning on page 52730 in the issue of Tuesday, December 24, 1985, make the following corrections:

1. On page 52731, in the first column, in the second paragraph, in the fourth line, "on" should read "or".

2. On page 52734, in the second column, in the first paragraph, in the fifth line, "other" should read "others"; and in the second paragraph, in the 17th and 18th lines, remove the following duplicate text: "OMB revised the appendix to reflect these comments."

3. On page 52735, in the third column, in paragraph 6j, in the third line, "budget" should read "budgeting".

4. On page 52736, in the first column, in paragraph 7c, in the eighth line, "the maximize" should read "and maximize"; and in paragraph 7g, in the fourth line, "to access" should read "of access".

5. On page 52737, in the first column, in the first line, "Meeting" should read "Meet".

6. On page 52738, in the third column, in paragraph 3e(3), in the second line, "or" should read "of".

7. On page 52742, in the second column, in paragraph 6b, in the second line, "Administration" should read "Administrator".

8. On page 52743:

a. In the second column, in paragraph 3a(2), in the 29th line, insert "be" between "shall" and "included".

b. In the third column, in paragraph 3c(2)(a), in the second line, insert "new" between "for" and "installations"; and in paragraph 3c(2)(3), in the fifth line, "have" should read "has".

9. On page 52744:

a. In the second column, in the sixth line from the bottom, the first word should read "audits".

b. In the third column, in the first paragraph, in the third line, "contests" should read "contents"; and in the eighth line from the bottom of the page, "consolidated" should read "consolidates".

10. On page 52745:

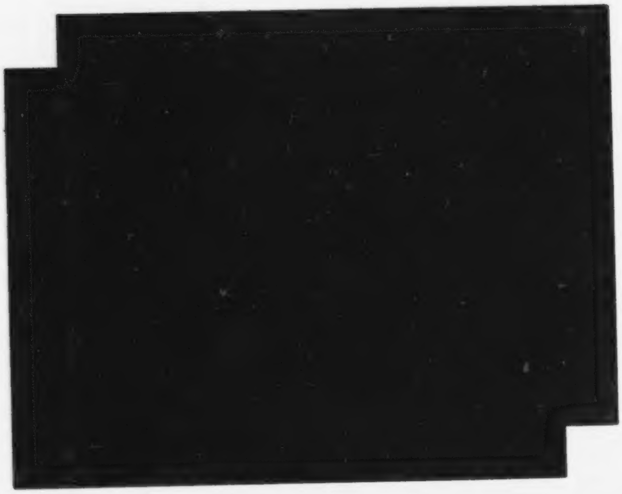
a. In the first column, in the ninth line from the bottom of the page, insert "the" between "with" and "NSDD".

b. In the second column, in the 17th line from the bottom of the page, "the" should read "and".

11. On page 52747, in the first column, in the seventh line from the bottom of the page, "therefore" should read "thereafter".

BILLING CODE 3110-01-M

Every penny invested in library services benefits... the economy...the community... the individual.



More Than a Third of New Yorkers Are "At Risk" — Untereducated, Underemployed, Disabled — Library Services Make a Difference.

BEST COPY AVAILABLE

Library Services Make Pennies Into Dollars for the...

Economy	job information...literacy...career counseling... business information services
Community	community service information...quality of life...cultural programs...films, computer software, records, books...
Individuals	lifelong learning...consumer and health information...family and teenage programs...story hours...recreation...civic awareness

In New York, Libraries:

loan — over 95 million books annually
serve — 1.1 million college students and faculty
help — 3 million elementary and secondary students
link — 1,600 corporations, scientific institutes, government and industrial research agencies and libraries

LSCA Funds Supplement State Aid Funds and Local Support

Federal funds for libraries represent only two percent of library operating expenditures in New York State; these funds are critical for prototype and special programs. Federal funds, combined with State and local support, have resulted in a 30-year local-state-Federal partnership guaranteeing lifelong learning opportunities for our people, research and development information for our economy, and quality education.

Seven Urban Libraries Helped

The LSCA Major Urban Libraries program provided nearly $504,000 to public libraries in Brooklyn, Buffalo, New York City, Queens, Rochester, Syracuse and Yonkers. This program provided materials needed in high-use areas such as public health, small business operations, science and technology.

LSCA Funds Help Public Libraries Serve Adults Learning to Read

More than 3 million New Yorkers are educationally disadvantaged and 5.6 million aged 17 or over lack a high school diploma. For many New Yorkers, English is not a first language. In New York City alone, some 1.8 million speak one of 25 major languages, ranging from Arabic to Yiddish. Library bilingual programs serve people throughout the State. Libraries cooperate with other agencies to offer literacy classes, train literacy volunteers and provide materials and meeting places for students and tutors. In rural areas, libraries often provide the only local help for the independent learner.

In 1985, over $467,200 in LSCA Title I funds strengthened 24 adult learning or literacy projects in libraries across New York. Without Federal assistance, valuable opportunities for adult learners seeking educational, vocational or cultural education will be eliminated. A literate, productive work force and citizenry is essential to our economy — Libraries assist New Yorkers to live more productive lives.

LSCA Funds Provide Education Career and Community Services Information

More than 13 percent of the State's population lives below the poverty level. Libraries provide basic survival information, referral services, and information useful to getting and holding jobs.

More than 65 job/education centers offer citizens educational and vocational counseling, high school and college degree credit and independent study program opportunities, and preparation for High School Equivalency exams. Libraries help individuals prepare resumes, obtain career change information, find out about training programs, and develop skills in test taking and job searching.

More than $452,100 in 1985 LSCA Title I funds improved library services for people with special career or education needs. Without Federal funds, these opportunities could be lost.

LSCA Funds Help Libraries Plan and Use Technology to Improve Services

Rapid technological change affects all aspects of library service. As new information formats — microforms, videotapes, video discs and computer programs — are more widely used, libraries and library staff are changing. Planning for the future is essential to ensure the best use of funds.

Technology helps libraries serve the information needs of business, industry, government research, and the people of the State more quickly and completely.

In 1985, over $448,640 in LSCA Title I and $424,470 in Title III grants helped New York libraries invest wisely in technological applications and plan carefully for new services.

LSCA Funds Help Public Libraries Serve Special Populations

New York's growing elderly population increasingly depends on library materials of all kinds — including large-type and talking books — and on library programs and services. As they pursue new hobbies, plan their budgets, decide between consumer products, or stay current with the world around them, the elderly are avid library users.

New York State's two regional libraries for the blind — in New York City at The New York Public Library and in Albany at the New York State Library — help more than 46,000 readers.

Minority groups with special cultural and informational needs use libraries to explore their heritage, interpret it for others, and to enhance their access to employment and educational opportunities.

Current information, education, and recreation materials support the efforts of institutionalized persons to make successful adjustments to self and society. Most institutions need bilingual and other specialized materials.

More than 700 public libraries are within easy distance of citizens with special needs. LSCA Title I funds totalling more than $1 million in 1985 helped libraries provide tailored services to these individuals. Federal funds for special needs make the difference for these individuals. Without Federal funds these hard-to-serve people may not be reached.

HEA Funds Assist College and University Libraries

Higher Education Act Title II, Library Resources, funds provided more than $1.4 million to strengthen research collections, purchase materials, and support fellowships in New York State.

Title II A. College Libraries. No grants are currently being made to institutions under Title II A, College Libraries. These funds have often made the difference in an institution's ability to purchase much-needed reference works.

Title II B. Training and Research. These funds provide fellowship grants for minority and/or economically disadvantaged librarians. Columbia University, CUNY, Long Island University, C.W. Post Center, Queens College, St. John's University, State University of New York at Albany, and State University of New York at Buffalo shared $112,000.

Title II C. Strengthening Research Libraries. Eight research libraries in New York State

- American Museum of Natural History
- Columbia University Libraries
- New York Historical Society
- The New York Public Library
- New York University
- State University of New York at Buffalo Library
- Syracuse University
- University of Rochester, Eastman School of Music

received grants totalling $1,293,621.

LSCA Title II Construction Funds

Nine LSCA Title II public library construction grants totalling $1.5 million awarded in FY1985 generated an additional $4.7 million in local funds for the Amherst Public Library, the Brooklyn Public Library, the Chemung-Southern Tier Library System, The New York Public Library Aquilar and Countee Cullen Branch Libraries, the Nioga Library System, the Rochester Public Main Library and the South Avenue Branch Library, and the Schenectady County Public Library. Eleven approvable projects requesting an additional $1 million did not receive grants because of insufficient funds. In September, a New York State survey identified 230 public library construction projects pending, requiring $93.9 million.

For FY1986, Congress appropriated $22.5 million for Title II Public Library Construction. That appropriation would provide $1.3 million for construction in New York State. The President, however, has recommended a recision. The LSCA construction funds are needed in New York State.

A White House Conference—Needed in 1989

Resolutions before the Senate (S.J. Res. 112) and the House (H.J. Res. 244) propose a 1989 White House Conference on Library and Information Services. This Conference represents an unparalleled opportunity for librarians, trustees, citizens, and public officials to evaluate and redirect library services. The 1979 Conference resolutions remain the basis for state and national library policy decisions. The conference allows information professionals, businesspeople, city and county officials, attorneys, engineers, health care representatives, college presidents, school teachers, scientists, poets, state legislators and members of Congress to work together and to discuss library services that continue to support our economy and our educational institutions and improve the quality of life in our communities and for our citizens. New York sponsors of H.J. Res. 244 include Congressmen Ackerman, Addabbo, Biaggi, DioGuardi, Downey, Fish, Gilman, Horton, Kemp, Manton, Martin, Mrazek, Owens, Rangel, Solarz, Towns, Weiss and Wortley.

FEDERAL LIBRARY FUNDS MAKE EDUCATIONAL OPPORTUNITY, QUALITY-OF-LIFE AND ECONOMIC PRODUCTIVITY DIFFERENCES .... FROM RURAL VILLAGES TO INNER CITIES — LIBRARIES SERVE PEOPLE....

New Yorkers rely on libraries for a wide range of services. Public, school, academic, institutional and special libraries answer hundreds of thousands of reference questions and provide career, job, community agency and educational information. Libraries in correctional and Division for Youth facilities bring necessary information for individuals preparing to rejoin society. From the customized computer-based literature searches done by special libraries for corporate executives to the resume writing workshops held by public libraries, thousands of programs and services are tailored to the needs and interests of the State's people, businesses and government. New Yorkers become more self-sufficient, productive and capable by using their libraries.

For further information on Federal library programs in New York contact:

Office of the State Librarian
New York State Library
State Education Department
Cultural Education Center
Albany, New York 12230
(518) 474-5930.

FEDERAL FUNDS ARE CRITICAL IN THE LOCAL-STATE-FEDERAL PARTNERSHIP—INVESTING IN OUR NATION'S FUTURE ... TODAY

Library Services and Construction Act Grants

By Congressional District (1-19)

Brooklyn Public Library

$1,169,073 in Federal aid provided services to 3,144,632 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Brooklyn Public Library.

Education Information Centers provide adult independent learning information and job information for the **unemployed** and underemployed, with special attention given to the informational needs of people with handicapping conditions.

The Child's Place provides **preschool children** with books and reading, emphasizing services for the gifted child at its branches.

Expansion of the Literacy Volunteer Program, which has been conducted at the Central Library for several years, to the branches through the addition of some staff and the purchase of **materials**.

Nassau Library System

$228,400 in Federal aid provided services to 13,560 users. Types of projects include:

Adult Learner and Job Information Centers project focuses on the library as a source of **lifelong learning** and provider of job information.

The New York Public Library

$1,579,405 in Federal aid provided services to 155,356 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — The New York Public Library.

Outreach Project provides enriched and **relevant library service** in disadvantaged neighborhoods, especially where residents lack fluency in English.

Services to Blind and Physically Handicapped provides a full range of library and information service for this **special client** population.

Learners Advisory and Job Information Center provides information on educational opportunities, **career choice** and job search strategies, specializing in service to young adults.

Microcomputer Literacy Centers promote **computer literacy** by providing free access to microcomputers and appropriate software.

Queens Borough Public Library

$707,519 in Federal aid provided services to 85,264 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Queens Borough Public Library.

Literacy Volunteers program recruits and trains volunteers to tutor **functionally illiterate adults**, including ongoing training for experienced tutors.

Langston Hughes Community Library provides a unique combination of services directly related to the population — library services, **Black Heritage**, Education, Information and Referal Services and cultural offerings.

Microcomputer Literacy project provides **microcomputer access** to adult learners, especially the technology-deprived.

Suffolk Cooperative Library System

$192,600 in Federal aid provided services to 25,015 users. Types of projects funded include:

Adult Learner project with counselors to assist **adults** in assessing their career and employment needs through one-to-one counseling and job information centers to serve adults in Suffolk County who are in need of career and employment information.

Westchester Library System

$219,619 in Federal aid provided services to 608,455 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Yonkers Public Library.

Literacy and **English-as-a-Second-Language** project to provide free basic reading and ESL instruction on a one-to-one basis.

Adult education hotline/JIC's and Job Information Workshop provide services for adult learners that maintain, improve, and promote system-based, **county-wide educational I & R services.**

Video-Cable Study Implementation to increase use of **video** and cable TV by libraries in Westchester County.

Long Island Library Resources Council

$94,484 in Federal aid provided development of a **union list of serials**, which will ultimately benefit all library users of Long Island.

New York Metropolitan Reference and Research Agency (METRO)	$223,562 in Federal aid began **development** of a union list of serials, which will ultimately benefit all library users in New York City and Westchester county.

Grant awards made by the State Education Department between January 1, 1984 and December 31, 1985, including those for projects that provide services through September 30, 1986.

Library Services and Construction Act Grants

By Congressional District (20-24, 28)

Finger Lakes Library System

$175,796 in Federal aid provided services to 41,406 users. Types of projects funded include:

Services to Hearing Impaired project surveys needs of the **hearing impaired** and initiates services and public awareness for them.

Literacy Volunteer Coordination improves regional literacy volunteer organizations and **public awareness** and participation in literacy volunteer programs.

Job Information Center provides information services at three existing sites and expands services to rural communities.

Parent and Toddler Project increases availability and quality of library services to **parents** and toddlers in rural communities.

Four County Library System

$111,790 in Federal aid provided services to 74,193 users. Types of projects funded include:

Job and Citizen Information Centers to provide reference materials to help residents **find jobs.**

Rural Library **Workshops** to provide continuing education for librarians in rural areas.

Community Survey to assess the needs of the community's users and nonusers.

Mid-Hudson Library System

$162,550 in Federal aid provided services to 10,174 users. Types of projects funded include:

Job Information Center provides **job information** to adults and young adults.

Adult Independent Learner project provides a coordinator to serve as an **education consultant** to assist adults who seek help to begin or continue their education.

Preschool Computer Literacy program teaches **young children** computer skills in the library and tests public reaction to a computer program for young children.

Ulster County **Literacy** Program provides training in reading and writing for illiterate and functionally illiterate adults and English training for foreign-speaking adults through area libraries.

NYLINE — a demonstration project to test the ALANET mail and **computer database information** service.

Mohawk Valley Library Association

$110,971 in Federal aid provided services to 15,219 users. Types of projects funded include:

Adult Independent Learner project provides information and advisory service to meet the needs of **adult learners** and job seekers.

Literacy Volunteers program provides functionally illiterate adults with the opportunity to learn to read.

Ramapo Catskill Library System

$461,739 in Federal aid provided services to 13,317 users. Types of projects funded include:

Job Information Centers emphasizing **career** and educational counselling and I & R services.

Radio Vision program provides blind and physically handicapped persons with current or **local news** and information.

Regional **Data Base Project** will facilitate regional access and sharing of library materials.

South Central Research Library Council

$54,226 in Federal aid provided services to 11,250 users. Spectrum — a calendar of continuing education activities offered for **library personnel** in the Upstate New York region.

Southern Adirondack Library System

$376,880 in Federal aid provided services to 12,909 users. Types of projects funded include:

Adult Independent Learner/Job Information Center project in member libraries provides expert **counseling** and special materials for adults pursuing degrees outside of formal establishments and for job seekers.

Capital District Public Library Data Base project will develop a multipurpose **machine-readable regional union** catalog.

Upper Hudson Library Federation

$146,296 in Federal aid provided services to 267,982 users. Types of projects funded include:

Outreach services to disadvantaged to improve, develop, strengthen and expand quality library service to the **economically disadvantaged**, the institutionalized, limited English-speaking and shut-ins.

Display and Exhibit Project provides member libraries with a means to mount **informational displays** and exhibits in their communities and provides help with locating and mounting these exhibits.

Westchester Library System

$219,619 in Federal aid provided services to 606,455 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Yonkers Public Library.

Literacy and English-as-a-Second-Language project to provide free basic reading and ESL **instruction** on a one-to-one basis.

Adult education hotline/JIC's and **Job Information** Workshop provide services for adult learners that maintain, improve, and promote system-based, county-wide educational I & R services.

Video-Cable Study Implementation to increase use of video and **cable TV** by libraries in Westchester County.

Grant awards made by the State Education Department between January 1, 1984 and December 31, 1985, including those for projects that provide services through September 30, 1986.

Library Services and Construction Act Grants

By Congressional District (25-27, 29)

Clinton-Essex-Franklin Library

$99,370 in Federal aid provided services to 26,772 users. Types of projects funded include:

Rural Health Information provides preventive health information services to residents of a primarily rural area.

Black Poetry Project recognizes and appreciates the contribution that **Black poets** have made to American life and culture.

Job Information Center serves as a **clearinghouse for employment** career and education related information for the residents of three counties.

Literacy volunteers project purchases materials and trains tutors.

Telecommunications **Devices for Deaf** project increases access to information for the deaf by providing communication capabilities within their communities.

Lending Library for **Disabled Children** assists disabled children in understanding and adjusting to their disabling conditions through the use of print and nonprint resources.

Public Relations Training to improve the **communication skills** of public library staff.

Finger Lakes Library System

$175,796 in Federal aid provided services to 41,406 users. Types of projects funded include:

Services to Hearing Impaired surveys needs of the **hearing impaired** and initiates services and public awareness for them.

Literacy Volunteer Coordination improves regional literacy volunteer organizations and public awareness and participation in **literacy volunteer** programs.

Job Information Center provides information services at three existing sites and expands services to rural communities.

Parent and Toddler Project increases availability and quality of library services to **parents and toddlers** in rural communities.

Four County Library System

$111,790 in Federal aid provided services to 74,193 users. Types of projects funded include:

Job and Citizen Information Centers to provide **reference materials** to help residents find jobs.

Rural Library Workshops to provide continuing education for librarians in **rural areas**.

Community Survey to **assess the needs** of the community's users and nonusers.

Mid-York Library System

$148,748 in Federal aid provided services to 339,843 users. Types of projects funded include:

Adult Independent Learner/Literacy/**Bilingual** project supplies information on educational and personal growth programs and programs to adult learners through video programming and cable TV.

Special Services for the Deaf project **serves deaf population** by lending decoders and closed-captioned video cassettes to deaf and hearing impaired.

Mohawk Valley Library Association

$110,971 in Federal aid provided services to 15,219 users. Types of projects funded include:

Adult Independent Learner project provides information and advisory service to meet the needs of adult learners and **job seekers**.

Literacy Volunteers program provides functionally illiterate adults with the opportunity to **learn to read**.

North Country Library System

$25,315 in Federal aid provided services to 51,016 users. Types of projects funded include:

Adult learner services and **resources** for residents involved in continuing education programs or job seeking.

Adult Learning program focuses on **literacy skills**.

Consumer Health Information Project provides adults with quality information concerning health and fitness.

Parent Information Program provides information and service to parents and other adults concerned about the **welfare of children**.

Onondaga County Public Library

$204,888 in Federal aid provided services to 429,276 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Onondaga County Public Library

Job Information to make the public more aware of library resources and services available for the unemployed and those **seeking career changes**.

Literacy project assists functionally illiterate to gain basic skills in **reading, mathematics and comprehension** through use of System 80 machines and other library resources, including specially prepared "easy English" materials on local subjects oriented to the foreign- born.

Kits for Kids Project to cultivate in preschool children a **love of books** and an interest in reading.

Parenting the Handicapped assists parents of handicapped children to learn more about specific disabilities and agencies and organizations serving them.

Pioneer Library System

$211,739 in Federal aid provided services to 453,429 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Rochester Public Library.

Adult Independent Learner project provides both educational **advisory services** and Job Information Center referral services.

Tapping Hidden Resources trains public library trustees, staff, and members of friends groups in the elements of **fund raising**, emphasizing library situations and focusing on government funding.

Video Cable Access project produces a series of half-hour videotapes for **weekly cablecasting** and makes copies available for library viewing and for circulation to the public.

Hispanic Outreach project is designed to increase the Hispanic community's awareness and utilization of area public library materials, information and services.

GEAC Intersystem terminals project proposes to tie the four rural county systems to the GEAC **computerized library system** in the central library.

Rochester Regional Research Library Council

$96,366 in Federal aid provided funding to develop a Union List of Serials, which will benefit **all library users** in this region.

South Central Research Library Council

$54,226 in Federal aid provided services to 11,250 users. Spectrum — a calendar of continuing education activities offered for library personnel in the Upstate New York region.

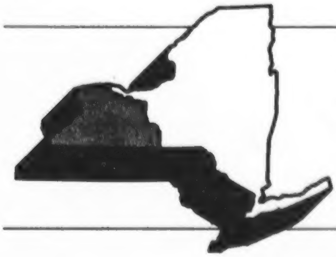
Southern Adirondack Library System

$378,880 in Federal aid provided services to 12,909 users. Types of projects funded include:

Adult Independent Learner/Job Information Center project in member libraries provides expert counseling and **special materials for adults** pursuing degrees outside of formal establishments and for job seekers.

Capital District Public Library Data Base project will develop a **multipurpose machine-readable regional** union catalog.

Grant awards made by the State Education Department between January 1, 1984 and December 31, 1985, including those for projects that provide services through September 30, 1986.



Library Services and Construction Act Grants

By Congressional District (30-34)

Buffalo and Erie County Public Library

$601,170 in Federal aid provided services to 2,822,221 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Buffalo and Erie County Library.

Project LEAP continues **outreach** services to the disadvantaged among the non-print-oriented, foreign-language-speaking, physically handicapped and institutionalized.

Job Information Center provides information for the first-time jobseeker, the unemployed and underemployed, as well as information on planning or changing careers.

Literacy project to develop linkage between WNED-TV and the BECPL as a demonstration for cooperative efforts between public television stations and public libraries.

Chautauqua-Cattaraugus Library System

$152,800 in Federal aid provided services to 18,807 users. Types of projects funded include:

UPDATE radio reading service provides FM radio access to printed materials for **visually** and otherwise **physically handicapped** residents.

English as a Second Language enhances the library's ability to serve the needs of the **foreign-speaking** segment of the population.

Educational Videotape Center provides **educational** videotapes for adults.

Literacy Volunteers program coordinates and provides support to **literacy** volunteer efforts throughout the system.

Chemung-Southern Tier Library System

$133,775 in Federal aid provided services to 7,848 users. Types of projects funded include:

Job Information Center helps individuals improve their **job-seeking skills** and provides them with a variety of resources.

Energy Information Center provides information on energy conservation and conservation construction techniques.

Literacy Volunteer program with an emphasis on development of a **personal computer** program to assist tutors.

Finger Lakes Library System

$175,796 in Federal aid provided services to 41,406 users. Types of projects funded include:

Services to **Hearing Impaired** program surveys needs of the hearing impaired and initiates services and public awareness for them.

Literacy Volunteer Coordination improves regional literacy volunteer organizations and **public awareness** and participation in literacy volunteer programs.

Job Information Center provides information services at three existing sites and expands services to **rural** communities.

Parent and Toddler Project increases availability and quality of library services to parents and **toddlers** in rural communities.

Nioga Library System

$102,170 in Federal aid provided services to 143,000 users. Types of projects funded include:

Senior Information Center, which will provide information and community referral services to the **elderly**.

Teen Coping Center, which will provide special information and materials to **young adults**.

Parent/Child Education Centers to provide information to **parents** in the area about parenting skills.

Radio Reading Service Booster extends a **broadcast** service to provide current information to individuals who are unable to read conventional printed materials.

Bifolkal Kits project provides multisensory, multimedia kits to residential facilities, nursery schools and the general public.

Pioneer Library System

$211,739 in Federal aid provided services to 453,429 users. Types of projects funded include:

Strengthening Major Urban Resource Libraries — Rochester Public Library.

Adult Independent Learner project provides both educational advisory services and Job Information Center referral services.

Tapping Hidden Resources trains public library trustees, staff, and members of friends groups in the elements of **fund raising**, emphasizing library situations and focusing on government funding.

Video Cable Access project produces a series of half-hour **videotapes** for weekly cablecasting and makes copies available for library viewing and for circulation to the public.

Hispanic Outreach project is designed to increase the **Hispanic** community's awareness and utilization of area public library materials, information and services.

GEAC Intersystem terminals project proposes to tie the four **rural** county systems to the GEAC computerized library system in the central library.

Rochester Regional Research Library Council	**$96,366 in Federal aid provided funding to develop a Union List of Serials**, which will benefit all library users in this region.
South Central Research Library Council	**$54,226 in Federal aid provided services to 11,250 users.** Spectrum — a calendar of **continuing education** activities offered for library personnel in the Upstate New York region.
Western New York Library Resources Council	**$163,741 in Federal funds began development of a union list of serials** project, which will ultimately benefit all library users in the six Western New York counties.

Grant awards made by the State Education Department between January 1, 1984 and December 31, 1985, including those for projects that provide services through September 30, 1986